DOCUMENT RESUME

ED 121 238 IR 003 178

TITLE	The Management Review and Analysis Program Report to the Director of Libraries by The MRAP Study Team.
INSTITUTION	Association of Research Libraries, Washington, D. C. Office of Univ. Library Management Studies.; Maryland Univ., College Park. Univ. Libraries.
PUB DATE	Sep 74
NOTE	260p.
EDRS PRICE	MF-$0.83 HC-$14.05 Plus Postage
DESCRIPTORS	Administrative Policy; Budgets; Communication (Thought Transfer); Higher Education; Information Dissemination; *Library Administration; Library Materials; Library Planning; Library Research; Management; Management Information Systems; Objectives; Organization; Personnel Management; *Research Libraries; Systems Analysis; *University Libraries
IDENTIFIERS	*Management Review and Analysis Program; MRAP

ABSTRACT

The University of Maryland at College Park (UMCP) libraries participated in a management review and analysis program (MRAP) with the assistance of the Office of University Library Management Studies of the Association of Research Libraries. Three study teams reported on the library system in its institutional setting; current trends in higher education and the UMCP response; and the library's mission, objectives, and goals with respect to those of UMCP. Task forces reported on the specific areas of planning, policy, budget, management information, organization, leadership and supervision, staff development, personnel, and general management. Recommendations were then formulated in seven major areas: (1) library goals and objectives as related to those of UMCP; (2) organizational roles and relationships; (3) leadership and supervision; (4) human resources management; (5) information dissemination within the library system; (6) communication between the library and the UCMP community; and (7) development and utilization of material resources. Finally, suggestions were made for reviewing the study and implementing the recommendations. Study team and task force reports are appended. (LS)

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THE MANAGEMENT REVIEW AND ANALYSIS PROGRAM

REPORT TO THE DIRECTOR OF LIBRARIES

BY

THE MRAP STUDY TEAM

U S DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

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THE UNIVERSITY OF MARYLAND LIBRARIES, COLLEGE PARK

SEPTEMBER 1974

IR 003 178

September 17, 1974

Mr. Howard Rovelstad
Director of Libraries
The University of Maryland, College Park

Dear Mr. Rovelstad:

The Management Review and Analysis Program Study Team herewith submits its report.

We should like to take this opportunity to thank you for providing support, counsel, and assistance to the Study Team throughout the duration of the program.

Very truly yours,
The MRAP Study Team

Jacqueline Austin

Mary Lou Dennis

Richard Frenier (Vice-Chairman)

Catherine Kneessi

Barbara Manchak

Robert Pierson (Chairman)

Jack Siggins

Sharon Taber

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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ACKNOWLEDGEMENTS

The University of Maryland College Park Libraries Management Review and Analysis Program Study Team wishes to thank the following:

the members of the MRAP Task Forces, without whose contributions the study would have been impossible;

the members of the library system staff who, as resource personnel, granted interviews and responded to questionnaires - and who shouldered work loads necessarily laid aside by Study Team and Task Force members;

officers of the UMCP Administration, who gave freely of their time to MRAP interviewers;

Duane Webster and Jeffrey Gardner, of the Association of Research Libraries, Office of University Library Management Studies; and

Sally Davis, who served as MRAP Secretary, and Elizabeth Cahoon, who substituted for Mrs. Davis on several occasions.

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INTRODUCTION

The Management Review and Analysis Program at the University of Maryland Libraries, College Park, is one of a number of such assisted self-studies undertaken by members of the Association of Research Libraries under the guidance of the Association's Office of University Library Management Studies. The Director of Libraries arranged for UMCP library system's participation in the program and appointed the Study Team. Its members are Jacqueline Austin, Mary Lou Dennis, Richard Frenier (Vice-Chairman), Catherine Kneessi, Barbara Manchak, Robert Pierson (Chairman), Jack Siggins, and Sharon Taber. The Director's charge to the Study Team is as follows:

> *First, I would like to express my thanks to you in this formal way for your willingness to participate as a member of the Study Team in the library's Management and Analysis Program. I am sure we are all going into this venture with the hope that the role of the library in the University will be strengthened.*
>
> *The documents which you already have in hand tell you much more of the procedures and schedules to be followed in the program and much more of the anticipated outcome than I feel I need to review here. However, the major role of the Study Team as expressed in the manual is to serve as the working group to accomplish the several goals and tasks of the management study. The team is to organize and assign the work of the Study, review and analyze present management activities, and recommend changes and improvements. At the study's conclusion it is hoped that the team will continue to provide assistance to the library administration in implementing recommendations.*
>
> *It is important that members of the Team participate actively in all phases of the study, arrange to attend all meetings, perform specific work assignments, and assist in evaluating progress. It seems essential to first establish, probably in a much more detailed method than we have ever done before, the objectives of our library. I believe you are already considering these and I would like to participate in the writing of revised goals in order that we may all relate our work to these objectives.*
>
> *Goals of the study should include these (perhaps the committee will think of others):*
>
> 1. *Examine present managerial structure with a view to suggest possible changes or different organizational relationships.*
> 2. *Establish a framework for continuing analysis and mechanism for review of activities.*
> 3. *Foster improved communication throughout the library.*

4. *Formalize departmental objectives.*
5. *Suggest directions toward better utilization of personnel, refinement of personnel policy, and the establishment of a formal staff development program.*

The tasks to accomplish these goals include:

1. *Become thoroughly familiar with library objectives, relate these to the goals of the study, and review and improve the statement of objectives.*
2. *Review the manual and other management materials.*
3. *Organize the work to be done.*
    a. *Make overall work plans*
    b. *Set up agenda*
    c. *Devise and implement methods of involving the staff and keeping them informed of the study's work and progress*
4. *Perform the study by utilizing step-by-step approach through use of the study manual.*
    a. *Select, instruct, and provide leadership for the task forces*
    b. *Report to the library administration informally*
    c. *Prepare regular progress reports for and keep in close touch with the Director of Libraries*
    d. *Assist in drafting reports of the individual task forces as well as the final report*

It is anticipated that the major outcome of this study will be a report pointing to several fundamental actions that are required over the short and long run. To insure that the results make a substantial contribution to the success of the library's role, a management improvement program should be described that encourages phased implementation of recommended changes and builds a continuing review function into the responsibilities of top management.

In carrying out this project it should be remembered that the Study Team is an advising and organizing group. It cannot possibly in the time allotted carry on in-depth studies in all of the activities of the library. The in-depth studies, investigations, and reports must necessarily be the work of the several task forces. It is through the participation of study team members on the various task forces that we anticipate that a unified and compatible final report may result.

Many of us have participated in self-analysis programs of libraries in connection with accreditation surveys. Because the goal of these surveys is accreditation, I suspect that they are not always of the most objective nature. In this study I feel that we are not under any compulsion to look good. We are free to look at our practices objectively and critically,

and to formulate recommendations accordingly.

Ideally it would be desirable to have every staff member participate in this study. Practically this is not feasible. However, as many individuals as possible should be given the opportunity to become involved. One should not have to be assigned to a task force to be heard.

The question of which comes first--MRAP or on-going activities--will not always be an easy one to answer. I have emphasized, and will continue to emphasize, to the upper and middle managers my support of this project. Let me know as the project proceeds, how I and the assistant directors can help maintain a good working relationship between the Study Team and management.

I look forward to working closely with the Study Team in its activities over the next several months and in receiving the completed report at the end of the formal study period.

In accordance with suggested MRAP procedure, the Study Team appointed nine Task Forces, each chaired by a member of the Study Team. The Task Forces and their members were:

(1) Planning: Arthur Crawmer, Andrew Melisano, Robert Merikangas, Elizabeth Tomlinson, and Jack Siggins (chairman)

(2) Policy: Martha Bowman, Lynne Bradley, Mary Lou Dennis (chairwoman), Gail Fiorini, and Elsa Yerkes

(3) Budget: Jacqueline Austin (chairwoman), Robert Beare, Dottie Bozman, Angela Domanico, and Irene Schubert

(4) Management Information: Margaret Byrd, Jean Burless Clarke, Marilyn Nelson, Robert Pierson (chairman), and Patricia Reap

(5) Organization: Richard Frenier (chairman), Judith Ignacio, Geraldine Love, Elsi Mauro, and Pearl Siegel

(6) Supervision and Leadership: Katherine Delaney, Herbert Foerstel, Janet Gallagher, Vivian Lewis, Barbara Manchak (chairwoman), and Elizabeth Sousa

(7) Staff Development: Janette Chittenden, Julia Mamani, Patricia Stevens, Sharon Taber (chairwoman), and Pearl Tubiash

(8) Personnel: Pearl Cooprider, Donald Craig, Dean Gattone, Carleton Jackson, and Catherine Kneessi (chairwoman)

(9) General Management: Linda Craig, James Miller, Rose Nakada, Anthony Provine, and Jack Siggins (chairman)

The report which follows is in two parts. Part One opens with a brief review of the intent of the study, continues with the Study Team's recommendations, and concludes a brief discussion of review and implementation, with recommendations for the latter.

Part Two consists of twelve reports. Three are by individuals and groups from within the Study Team; nine are by Task Forces. The Study Team reports are on, respectively, the setting for UMCP library management, current trends in higher education, and the roles of mission, objectives, and goals in the UMCP library system. They describe the institutional and philosophical environment within which the UMCP library system operates. The nine Task Force reports cover various aspects of library management. The first four are on general aspects of management: planning, policy, budget, and management information. The last five look at areas of application: organization, human resources (*viz.*, supervision and leadership, staff development, and personnel), and general management. Each Task Force report describes the existing situation, analyzes it, and makes recommendations.

Reports in Part Two were received by the Study Team in draft form and were reviewed by the Study Team for accuracy, logic, confidentiality, and objectivity. After revision, they were accepted for inclusion in the final report to the Director (without the Study Team's necessarily endorsing each opinion expressed).

Minority reports were submitted by a member of the Task Force on General Management and a member of the Task Force on Personnel. They are not included in this report because they did not conform to the guidelines for Task Force reports established by the Study Team and distributed to all Task Force members.

Each report was then edited for consistency in terminology and format: *e.g.*, UMCP has been generally used in preference to University of Maryland except where the state-wide system is cited; the UMCP libraries are referred to as the library system; the adjective Campus has been added to designations of Campus units to make it clear that reference is not to units within the library system; and every effort has been made to achieve consistency in capitalization, italics, punctuation, signs, and numerals. The editing team has consisted of Study Team members Dennis, Frenier, and Pierson.

The Study Team has made every effort to cite all the Task Force recommendations upon which the Study Team has based its own recommendations. Appendices (*e.g.* questionnaires, bibliographies, *etc.*) to Task Force reports have not been included but will be made available at three library system locations: the McKeldin Library General Reference Room, Undergraduate Library staff lounge, and Engineering and Physical Sciences Loan Department.

It should be noted that the reports describe situations as they existed at the time that the reports were prepared.

PART ONE

THE STUDY TEAM SUMMARY REPORT

THE PURPOSE OF THE STUDY

The 1950's and 1960's were decades of growth in American higher education. Education and research were popular and received public support accordingly. Generally, library resources grew in proportion to demand. In the early 1970's, the situation changed. Despite rising costs, budgets stabilized and, in many institutions, declined, while demand for quality collections and services continued to increase, with the result that libraries found themselves expected to do more with less. As a result, libraries have needed to examine their management practices in order to use their material and human resources more effectively - not only to satisfy present demands, but also to prepare a methodology for managing future demands.

In recognition of these developments, the Association of Research Libraries (ARL) has, through its Office of University Library Management Studies (OULMS), developed the Management Review and Analysis Program (MRAP), providing for assisted self-studies by ARL members. To date, 14 ARL member libraries have participated in MRAP.

To implement the concept of assisted self-study, the OULMS has published a detailed Manual which serves as an instructional device and as a working tool. It directs attention to management principles, provides procedures, suggests possible results, points to pitfalls, suggests how to develop group efficiency, offers schedules and deadlines, and supplies checklists. The participating institution, by submitting itself to this discipline, profits from the expertise of the OULMS staff and the experience of other libraries. Moreover, the OULMS conducts monthly training sessions for representatives from participating institutions. Ample provision is made for varying needs; within the MRAP structure there is allowance for considerable adaptation in the light of local demands, opportunities, and constraints. Such allowance is, itself, an MRAP principle.

Among possible benefits to be gained from participating in MRAP, the UMCP Study Team identified the following as being the most prominent:

1. an assessment of library goals and objectives
2. a movement toward an active mode of management with a less reactive posture within the UMCP community
3. constructive and efficient staff participation in management
4. improved work atmosphere within the library system through the development of techniques and policies for dealing with interdepartmental conflicts and operational problems
5. improved library system response to user needs
6. identification of major internal and external constraints on management.

MRAP differs from previous studies of the UMCP library system, such as the 1965 study undertaken by what is familiarly known as the "Sparks" Committee, in that they focussed on needs and recommendations in regard to collections, services, and facilities, *i.e.*, service goals - whereas MRAP focusses on managerial problems for the purpose of establishing and/or strengthening managerial practices which will facilitate the continuing achievement of service goals.

RECOMMENDATIONS

In the following pages the Study Team presents its recommendations. They are grouped under seven broad headings which cite seven major needs. Each need is briefly defined; recommendations are then made. Each recommendation is accompanied by (1) citation of sources in Task Force recommendations, and (2) a statement of intent, in which the Study Team suggests how the particular recommendation can contribute to the solution of a problem implied in the statement of need.

I. TO ESTABLISH A HIERARCHY OF THE LIBRARY SYSTEM'S MISSION, OBJECTIVES, AND GOALS IN HARMONY WITH THE MISSION, OBJECTIVES, AND GOALS OF THE UNIVERSITY OF MARYLAND, COLLEGE PARK

The Study Team perceives the need to clarify the mission, objectives, and goals of the library system and its individual units, so that the library system may more completely support UMCP's mission, objectives, and goals in an era of expanding educational programs and related technologies. The staff of the library system should contribute to and be aware of the system's mission, objectives, and goals, and these should receive the endorsement of the UMCP community and should be reviewed at appropriate intervals. To accomplish this, the Study Team recommends:

1. that the Director of Libraries request that the library system's role within the UMCP structure be formally enunciated by the UMCP Administration. A formal charge to the library system would clarify its role and help in establishing meaningful objectives and goals. This charge, in effect, would become the library system's mission.

   Intent: to clarify the role of the library system in relation to the UMCP community, and to make that role more meaningful.

   Source: Planning A-1, Policy A.

2. that an *ad hoc* committee representative of all library system divisions be appointed by the Director of Libraries to examine and revise the existing statement of library system objectives, and to establish priorities. In the absence of a formal charge from the UMCP Administration, this committee should state the library system's perceived mission and goals.

   Intent: to establish a mission, objectives, and goals which will reflect the current UMCP and library system environment and which will serve as guidelines in evaluating the total library system program.

   Source: Leadership and Supervision 5, Planning B-4-a.

3. that the new set of library system mission, objectives, and goals be submitted to the staff for discussion, and that following staff and administrative discussion, the Director of Libraries seek UMCP endorsement by submitting the library system mission, objectives, and goals for approval to both the UMCP Administration and the Senate's Adjunct Committee on Libraries and Instructional Aids. This process (nos. 1-3) should be considered primary in the first implementation stages of MRAP, and should take no longer than three months.

   Intent: to ensure that the mission, objectives, and goals will have the endorsement of the entire staff, and to obtain approval of them from the UMCP community.

   Source: Leadership and Supervision 5, Personnel D-1.

4. that this written statement of mission, objectives, and goals for the library system be distributed to all employees, including new employees as their appointments become effective.

   Intent: *to ensure that all employees are aware of the library system's mission, objectives, and goals, and that all decisions relative to the system's operations will be made with these objectives and goals in mind, and within their parameters.*

   Source: Leadership and Supervision 5.

5. that following the establishment of library system mission, objectives, and goals, each division establish its own mission, objectives, and goals, working through *ad hoc* committees, such committees to consist of no more than seven persons; and that missions, objectives, and goals be similarly established, in sequence, down through the organizational structure to the smallest unit, the entire process to be documented and to take no more than one year from the date that the library system mission, objectives, and goals are promulgated.

   Intent: *to establish missions, objectives, and goals for every unit in the library system.*

   Source: Personnel D-1, Planning B-4-b.

6. that every three years, an *ad hoc* committee consisting of no more than seven members be appointed by the Director of Libraries to review and evaluate the network of library system missions, objectives, and goals.

   Intent: *to ensure that the library system's missions, objectives, and goals will reflect changes in educational philosophy and programs at UMCP.*

   Source: Study Team

II. TO CLARIFY AND/OR MODIFY EXISTING ORGANIZATIONAL ROLES AND RELATIONSHIPS WITHIN THE LIBRARY SYSTEM AND TO ESTABLISH NEW ONES AS APPROPRIATE

The Study Team perceives the need to clarify all organizational roles, relationships, and related policies within the library system so that library system and UMCP goals and objectives may be more effectively achieved. In order to ensure this, it is essential to reestablish clear and efficient channels of communication, to clarify the scope and levels of responsibility, to reconsider the existing organizational structure, and to establish new positions, functions, and advisory groups as appropriate. It is understood that such clarification and modification must be an ongoing process including participation of the staff at all levels and requiring anticipatory planning.

A. Regarding the Relationship to UMCP Policy, the Study Team recommends:

1. that the UMCP Administration be requested to state formally its position concerning centralization/decentralization of library service at UMCP, and to communicate this policy to the UMCP community.

   Intent: to provide the library system with a clear statement of UMCP policy concerning this issue and its fiscal ramifications.

   Source: Policy C.

2. that an *ad hoc* committee be formed to study the proliferation of libraries outside or partially supported by the library system and the effect it has on library service. This committee should be chaired by a librarian from within the system and its membership should include representation from each of UMCP's academic divisions as well as representation from top UMCP Administration. This committee could build on the achievements of the Library Assembly's Library Development Committee.

   Intent: to maximize library system service, and to encourage better utilization of UMCP resources for library service.

   Source: Organization 6.

B. Regarding Communication within the Library System, the Study Team recommends:

1. that there be more coordination among units for the sharing of information and materials.

   Intent: to keep duplication of effort to a minimum for both staff and clients, and to provide a more efficient library system.

   Source: Management Information A-4.

2. that proposals, plans, decisions, and solutions to problems be reported to unit heads and shared with other areas which might be affected.

Problems arising between areas in the library system, that cannot be mutually solved, should be forwarded to someone whose responsibility it is to coordinate inter-area activities.

Intent: *to encourage units within the library system to work together in making plans and solving problems that affect more than one area.*

Source: General Management A-3-b.

C. Regarding Roles and Functions within the Library System, the Study Team recommends:

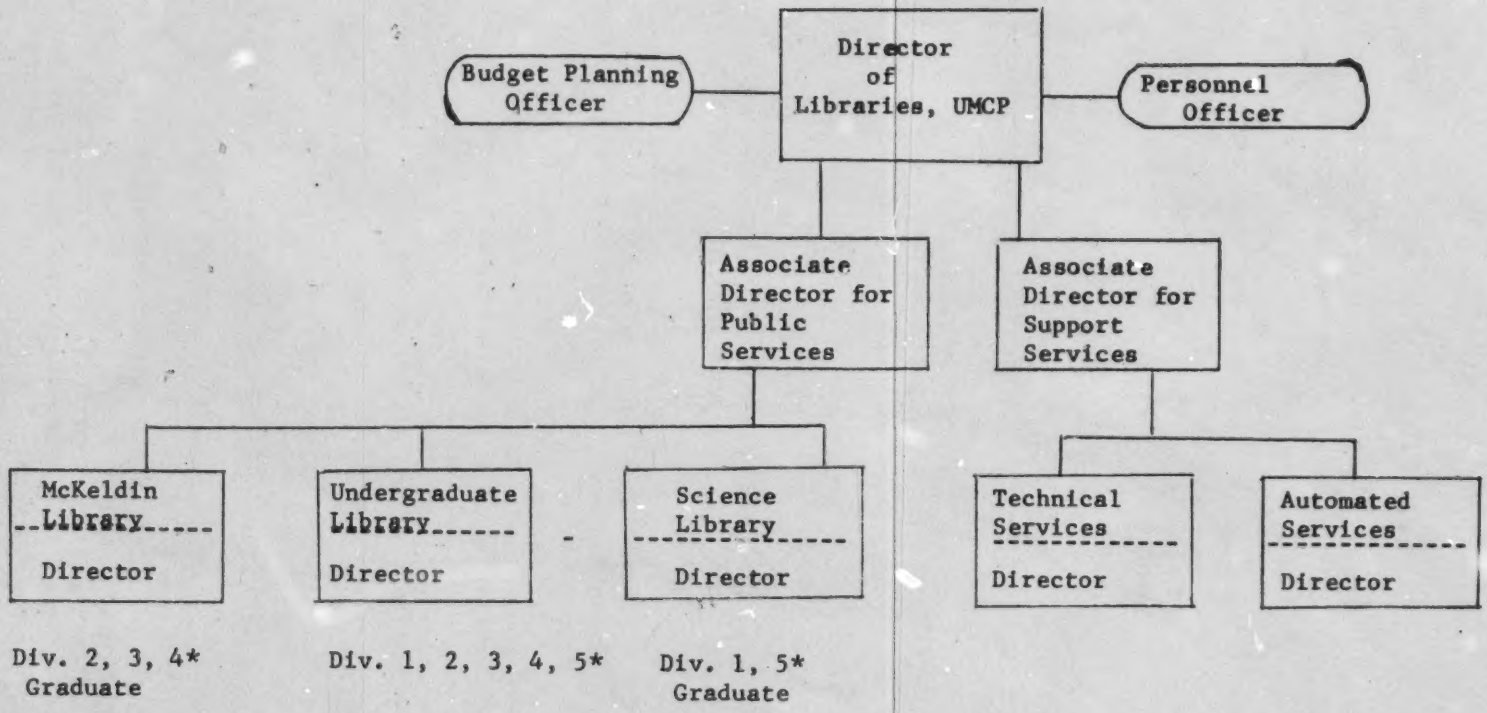
1. that the library system consider reorganization in accordance with the plan outlined on the following chart. (Implementation of this recommendation is contingent on the library system administration's receiving a firm commitment from the UMCP Administration of its intention to adhere to its stated policy of centralization of services.) This reorganization could be accomplished in stages as time and circumstances permit. In the case of positions new to this library system implementation could be appropriately handled through redefinition or change of existing positions.

Intent: *to unify the support services and the public services for the entire library system to strengthen library service and to permit more efficient use of library resources and facilities.*

Source: Organization 10.

(SEE NEXT PAGE FOR CHART)

SUGGESTED LONG-RANGE REORGANIZATION



Note: Heads of branch libraries would report to the appropriate Director, *e.g.*, the head of the Architecture Library would report to the Head of the McKeldin Library.

Note: Titles in this chart are suggested titles only.

2. that the roles, membership, responsibilities, and relationships of all advisory bodies be studied, clearly defined, and documented. Included in the category advisory bodies are the Library Council, the Library Assembly, Staff Alliance, *ad hoc* committees, standing committees, *etc.* These bodies should, in turn, define and document the responsibilities of each committee, task force, and administrative group reporting to them. Membership in the Library Council should be reevaluated, with consideration being given to providing a more balanced representation of the library system's divisions, and to the question of the roles of Assistant Directors in the Library Council.

   Intent: *to improve library system management by clarifying and streamlining the roles of the advisory bodies, in order to achieve improved staff input and participation in the decision-making process.*

   Source: *General Management A3-a, A-3-c, C-4, C-5, Organization 2, Personnel I-l, Planning B-7-i, B-7-j.*

3. that the roles and relationships of branches and units within the library system be examined and defined. This should include the following:

   a. the development of a top-management work plan which spells out in detail (1) who is responsible for what, (2) what the objectives and goals are for each unit, (3) what the priorities are, and (4) what the deadlines are. During this process, formal charges should be prepared (and updated as necessary) for the Associate and the Assistant Directors, Department Heads, and Coordinators delineating the roles and responsibilities of each, outlining their administrative functions, and, for the heads of the branch libraries, including their relationships to the library system and to the departments which they serve.

      Intent: *to establish clear lines of responsibility and authority within the library system, and to avoid duplication of effort and resources.*

      Source: *General Management A-4-a, Policy H-l.*

   b. the development and/or clarification of the definition of what constitutes graduate and undergraduate research at UMCP, an explanation of which library system facility is responsible for meeting the level of need in a given field, and clarification of policy regarding coordination and duplication of materials and levels of service within the library system as a whole and within its public service units.

      Intent: *to eliminate the uncertainty which presently exists regarding the roles of the individual libraries and units within the library system.*

      Source: *Policy I-l, I-2, I-3.*

4. that every division, department, and unit make provision for clearly-designated responsibility for decision-making in the absence of an Assistant Director, or Head of a department or unit. This responsibility could be assigned to either a staff position or a line position, depending on the circumstances.

Intent: *to ensure that necessary decisions will not be delayed because of the absence of particular individuals.*

Source: Organization 5.

5. that the position of Budget-Planning Officer be established, and that this Officer be assigned to work with the appropriate planning and advisory bodies. Specifically, the Budget-Planning Officer should be charged with providing guidelines for budget requests and planning proposals, coordinating the preparation of such requests and proposals (including the development of the library system's master plan), being responsible for coordinating plans for construction and remodeling of physical facilities, and collecting and maintaining data necessary to support the decision-making process, which includes statistical projections and analyses and coordination of efforts to obtain grant and foundation support for the library system.

Intent: *to establish a more effective budget and planning process for the library system.*

Source: Organization 10, Planning B-1.

6. that further study be made of the types of information required by those in managerial positions, and that policies and procedures be developed which include the definition of the types of information needed, and the establishment of a means for the dissemination of this information.

Intent: *to bring structure and organization to the process of collecting and disseminating management information within the library system.*

Source: Management Information A.

7. that a periodic and anticipated review mechanism be established for all levels of organization within the library system.

Intent: *to provide for continual organizational evaluation.*

Source: Organization 9.

D. Regarding Collection Development, the Study Team recommends:

1. that the responsibility for collection development be redefined. The roles of library representatives should be redefined, with librarians assuming the major responsibility for collection development.

Intent: *to place collection development decisions in the hands of those who have the greatest first-hand knowledge of both user needs and subject matter.*

Source: *Organization 7, Planning A-8-a, Policy G.*

2. that a standing committee drawn mainly from public service staff be established to allocate library materials funds.

Intent: *to place fiscal responsibility for collection development in the hands of those responsible for materials selection.*

Source: *Budget A-3.*

3. that the Acquisitions Department be notified by the Budget Planning Officer to refuse orders from a unit whose account is completely encumbered. The units and the above-mentioned standing committee should be notified of this action simultaneously. The committee should review, prior to the commencement of each budget cycle, all unit allocations.

Intent: *to provide a budget control system for collection development.*

Source: *Budget A-3.*

III. TO STRENGTHEN LEADERSHIP AND SUPERVISION

The Study Team believes that it is of the utmost importance that leadership and supervisory positions at all levels of the library system be strengthened. The Director of Libraries is seen as providing overall direction and leadership within the framework of the mission, objectives, and goals of the library system. At the same time a need is seen for strengthening the roles of managers and supervisors at all levels through the delegation of authority to appropriate levels and through increased use of participatory modes of management and clearly defined methods of decision-making.

A. Regarding the Executive Leadership Role, the Study Team recommends:

1. that the Director of Libraries initiate discussion with the UMCP Administration with the objective that the Director be included at the policy-making level on the College Park Campus.

   Intent: in order to ensure that the library system will be aware of new trends in educational programs and technologies, and UMCP's responses to them, and to ensure that the UMCP Administration is informed of constraints upon the library system.

   Source: Policy B.

2. that the Director take the lead in identifying and considering issues, initiating action to tie the libraries together in concerted effort to attain goals, and to build the confidence of the staff in the leadership ability of the library system management.

   Intent: to emphasize and maintain the fact that UMCP libraries operate as a system with one director, rather than as independant branch libraries/units whose director/heads are autonomous.

   Source: General Management A-2-a.

3. that the Director focus the attention of top management on the achievement of library system objectives, dealing firmly with any symptoms of devisiveness, agitation, or negative competition.

   Intent: to emphasize the fact that all parts of the library system should contribute to the achievement of system objectives.

   Source: General Management A-2-c.

4. that the decision and policy-making processes within the library system be clarified and formalized. Guidelines should be developed stating the relationships between organizational positions and responsibility for policy and decision-making; the steps to be followed in decision/policy-making, and the promulgation of decisions/policies.

Intent: *to provide a consistent means and established procedure for arriving at library system policy, so that there will be continuity throughout the library system.*

Source: General Management A-4-b.

5. that the Director appoint a group representative of each area of the library system to prepare descriptive guidelines for selecting supervisors; these guidelines should document desirable supervisory characteristics and experience, and should be used regularly within the supervisory selection process.

Intent: *to identify those qualities required for supervisory positions, so that applicants and selecting officials can operate from an identified and measurable base.*

Source: Leadership and Supervision 9.

6. that all library system managerial positions be examined for job content to differentiate those positions for which an MLS degree is required and those which do not require this professional education; and that classified staff members be appointed to fill those managerial positions for which an MLS degree is not required.

Intent: *to have duties performed in line with educational requirements for positions, and to bring a variety of staff levels into the library system's top and middle management.*

Source: Leadership and Supervision 1.

B. Regarding Top Management's Contact with the Staff, the Study Team recommends:

that top management inform the entire staff of developments in all areas and guide supervisors in communicating the information to the staff; notify the staff of coming decisions, events, or changes that affect the performance of staff jobs; attend unit meetings occasionally; seek more ways to participate in staff organization meetings; and, especially the Director, seek more informal, individual contact with the staff.

Intent: *to enable the staff to be adequately informed and, therefore, be able to participate knowledgeably in decisions relating to their work, and to personalize top management.*

Source: General Management C-6, C-7, Leadership and Supervision 7, 14.

C. Regarding Responsibilities of Supervisors, the Study Team recommends:

1. that top management continually provide guidance, incentive, and direction to middle management; enforce the principles of affirmative action; and strengthen the role of the library system's Equal Education and Employment Opportunity Officer and Committee.

Intent: *to enable middle managers to carry out their responsibilities in regard to the affirmative action program.*

Source: Personnel C-1, C-3.

2. that top management delegate more authority to middle management, concerning themselves more with the total library system's issues and problems. Middle management should be trusted to follow guidelines in making decisions to carry out policies set by top management.

Intent: *to enable management at all levels to function effectively and at the levels commensurate with their positions.*

Source: General Management A-4-c.

3. that guidelines be set for the extent to which supervisors may set policies.

Intent: *to enable management at all levels to function effectively and at the level commensurate with their positions.*

Source: Policy H-2.

4. that an attempt be made to assess the training needs of supervisors and managers, and that a training program be developed which is designed to meet the needs of library system supervisors and managers, and which uses the experts on this Campus and elsewhere.

Intent: *to provide ongoing opportunities for management to keep abreast of current trends and developments.*

Source: Leadership and Supervision 10, Staff Development 5-b-3, 5-b-4.

5. that policy be developed, which assigns immediate supervisors the responsibility for performance reviews, including conferences with employees being rated.

Intent: *to make the evaluation/rating procedure useful to both the employee and the organization be ensuring that those who best know an employee's work are responsible for his rating and salary increment recommendations.*

Source: Leadership and Supervision 15, Personnel F-4.

6. that there be established a policy of consultation with immediate supervisors in determining salary increases.

Intent: *to ensure that those who best know an employees work be involved in determining salaries.*

Source: Personnel H-1.

D. Regarding Staff Meetings as Vehicles of Communication, the Study Team recommends:

1. that methods for increased staff participation in the decision-making process be devised to ensure staff input before major decisions are finalized.

Intent: *to increase staff involvement in the management process.*

Source: General Management A-4-d.

2. that departmental staff meetings generally be held on a regular basis to discuss business, answer questions, and air problems. An open atmosphere should be created to ensure that these meetings are constructive, and that information flows in both directions.

Intent: *to keep the staff involved and aware on a timely basis.*

Source: Leadership and Supervision 6, Management Information B-4, Personnel J-1.

IV. TO IMPROVE THE MANAGEMENT OF HUMAN RESOURCES IN THE LIBRARY SYSTEM

The Study Team sees the improved management of human resources as a major means of achieving the library system's objectives and goals.

A. Regarding Manpower Planning and Utilization, the Study Team recommends:

that an *ad hoc* committee be formed to study the size and distribution of the library system staff in relation to the system's functions and goals, and to make proposals for improved utilization of staff. Long-range planning should include consideration of redeployment of current staff members, with particular emphasis on duties performed by librarians which could and should be assigned to classified staff.

Intent: to distribute staff for more effective utilization, to improve the ratio of librarians to support staff, and to upgrade the level of professional responsibility where needed.

Source: Organization 4, Personnel D-3.

B. Regarding Recruitment and Selection, the Study Team recommends:

1. that recruitment efforts for associate staff be more aggressive, with library schools beyond the local area being contacted for potential candidates.

Intent: to provide for diversification of staff.

Source: Personnel B-5.

2. that documentation of qualities relevant to a position and which are to be sought in applicants for that position be prepared and used throughout the interview process; this could be in the form of a check-list. Special attention should be paid to the development of guidelines for selecting supervisors and/or potential supervisors.

Intent: to provide system-wide standards for evaluating applicants and to improve interviewing techniques.

Source: Personnel B-1, B-9, Leadership and Supervision 9.

3. that training in interview techniques be required of all interviewers involved in the selection process.

Intent: to improve the ability to select the most appropriate applicant for a position.

Source: Personnel B-8.

4. that the library system issue a written policy statement on selection which includes its policy on affirmative action and the status of women in the library system. This statement should be distributed to all those involved in the selection process.

Intent: *to standardize selection procedures in the library system.*

Source: Personnel B-3, C-2, C-4, Study Team.

5. that detailed job descriptions be prepared for each position in the library system. The job description should emphasize special skills needed for any position, and should be included with each request for recruitment. A summary job description should be included on library system vacancy lists.

Intent: *to enable a potential applicant to evaluate a position with reference to his own interest and capabilities, and to enable interviewers to better evaluate candidates.*

Source: Management Information B-3-d, Personnel B-1, B-4, E-1, E-2, H-2, Staff Development 5-b-2.

6. that examination of applicants' past work records and recommendations be made regularly, with special attention given to questions relevant to the position being applied for.

Intent: *to help interviewers select the best qualified candidate for a position.*

Source: Leadership and Supervision 9.

C. Regarding Training and Development, the Study Team recommends:

1. that a formal statement of commitment to staff development be made by the library system's management, and that this commitment be publicized and formally transmitted to the library system staff.

Intent: *to provide a firm basis for a continuing staff development program.*

Source: Staff Development 1.

2. that the Library Assembly's Orientation Committee continue with the development of an orientation program for associate staff, and that the Staff Alliance's Orientation Committee continue with the development of a similar program for classified staff; both programs should be documented and should be reviewed annually by these Committees.

Intent: *to familiarize new employees with the total library system and how their jobs relate to it.*

Source: Management Information B-3-f, Staff Development 5-a.

3. that training in the following areas be required for all levels of management: management and supervision, interviewing techniques,

communication processes, group dynamics, and development of procedures manuals.

Intent: *to improve management of human resources and to bring management techniques up to date.*

Source: *General Management A-2-b, Management Information B-2-a, B-4-d, Personnel B-8, J-3, Staff Development 5-1-3 to 7.*

4. that a coordinated, documented staff development program be established. The program should:

   a. include a training plan for each unit, with documented training activities for each position

   b. provide each employee with a written job description for his position which is evaluated regularly

   c. identify and publicize relevant training and development programs offered on and off Campus

   d. identify or, where necessary, develop supervisory training opportunities

   e. evaluate all training in terms of effectiveness and need, and include the trainee in the evaluation of his own training

   f. encourage staff to develop new techniques and skills through training programs and classes offered through the UMCP Personnel Office. Staff should also be encouraged to attend, on work time, work-related conferences, Staff Alliance meetings, training programs, *etc.*

   g. include written policy statements on remission of fees and work release time, promotion policies, and funds for staff development.

Intent: *to improve the quality of the library system staff and thereby enhance library system effectiveness.*

Source: *Leadership and Supervision 3, 11, Personnel E-4, Planning B-6-i, Policy H-3, Staff Development 5-b, 5-c.*

D. Regarding Performance Evaluation, the Study Team recommends:

1. that performance evaluations be related to job descriptions; in turn, that job descriptions be reevaluated following performance evaluations in order to provide standards for the coming year.

Intent: *to provide standards with which to measure an employee's performance in relation to the position he holds.*

Source: *Leadership and Supervision 15, Staff Development 5-b-2.*

2. that all employees be given copies of their job descriptions.

Intent: *to enable the employee to know what is expected of him.*

Source: *Leadership and Supervision 3, Personnel E-1, Staff Development 5-b-2.*

3. that evaluation and/or alteration of a job description be accomplished in consultation with the incumbent.

Intent: *to enable both the employee and supervisor to be aware of what is expected of the employee.*

Source: *Leadership and Supervision 3, Personnel E-3.*

4. that performance evaluations be based on performance with reference to job descriptions and reflect accomplishment of pre-established goals.

Intent: *to help ensure fairer, more objective performance evaluations.*

Source: *Personnel E-4.*

5. that, for classified staff,

   a. the Library Council establish guidelines for interpretation and application of the current form. The guidelines should include:

      i. consensus on the interpretation of descriptive phrases

      ii. consensus on the application of numerical scores.

   b. these guidelines be communicated to all members of the staff.

   c. the immediate supervisor be responsible for preparing the form and discussing it with the staff member being rated. However, the preparation of the form should be done in consultation with the unit head or the rater's supervisor.

   d. the staff member being rated be allowed a reasonable amount of time for private study of his rating before he signs it.

   e. the staff member, having signed the rating, be given a copy of it.

Intent: *to help ensure fairer, more objective performance evaluations.*

Source: *Management Information B-3-b, Personnel F-2, F-4.*

6. that, for associate staff,

   a. the performance review form for associate staff be redesigned and

restructured to reflect evaluation of pre-determined mutually established performance criteria and goals, and that, when applicable, specific supervisory work factors be rated on this form.

b. the Library Council establish guidelines for interpretation and application of such form as is developed.

c. these guidelines be communicated to all members of the associate staff.

d. the immediate supervisor be responsible for preparing the form and discussing it with the associate staff member being rated. However, the preparation of the form should be done in consultation with the unit head or the rater's supervisor.

e. the staff member being rated be allowed a reasonable amount of time for private study of his rating before he signs it.

f. the staff member, having signed the rating, be given a copy of it.

Intent: *to help ensure fairer, more objective performance evaluations.*

Source: *Management Information B-3-c, Personnel F-2, F-3, F-4.*

E. Regarding Motivation of Staff, the Study Team recommends:

1. that a study be conducted (perhaps by the Library Assembly's Conditions of Employment Committee) to determine the feasibility of promotion of associate staff by other than administrative or supervisory ladders; if feasible, such a system should be implemented.

Intent: *to provide incentive and promotional opportunities in order to reward professional excellence outside the managerial sphere.*

Source: *Leadership and Supervision 2, Personnel H-3, Staff Development 5-c-3, 5-c-4.*

2. that more staff input be actively solicited in the planning process. Means of achieving this include:

a. making plans and planning documents available to the staff.

b. use of *ad hoc* committees in order to mobilize staff expertise and interest effectively.

c. encouragement of staff suggestions and acknowledgement of those accepted and implemented.

d. prompt response to staff suggestions, reports, budget requests, *etc.*

e. the following guidelines be used for appointments to *ad hoc* and standing committees made by the Director:

i. whenever feasible, preference in appointments should be given to staff members other than members of the Cabinet

ii. efforts should be made to try to get balanced representation from the various staff levels

iii. emphasis should be placed on representation from all concerned units or interests.

Intent: *to motivate the staff by encouraging participation in the planning process in the library system.*

Source: *General Management A-3-d, Leadership and Supervision 8, Planning B-6-b, B-6-d, B-6-e, B-7-h.*

3. that the library system administration develop written policy with reference to the determination of salary merit increases and that such policy be made known to the staff.

Intent: *to provide incentives to do a better job.*

Source: *Leadership and Supervision 13, Personnel H-1.*

F. Regarding the Administration of Personnel, the Study Team recommends:

1. that the UMCP Personnel Office be urged to produce accurate leave records and up-to-date eligibility lists, and that an effort be made to accelerate the flow of personnel information to the library system from the State via this Office.

Intent: *to enable the library system personnel officer to function more effectively, and to keep employees informed regarding personnel information.*

Source: *Management Information B-3-e.*

2. that a Personnel Officer, with appropriate support staff, be appointed. The functions of this Officer would be similar to those outlined by the Committee to Define the Duties and Qualifications of the Chief Personnel Officer of the University Library, University of Chicago:

1. Manages the business operations of the personnel office.
2. Maintains consistent, careful employee records.
3. Serves as a resource on currently available tools and programs in all areas of personnel management and supervision.
4. Monitors classed, equitable pay plans.
5. Collects information regarding wages, benefits and employee development programs at comparable institutions.

6. *Participates in the establishment and maintenance of a system of job descriptions.*
7. *Ensures that performance evaluations are fairly and equitably carried out by managers.*
8. *Monitors equitable systems of intra-institutional transfers.*
9. *Consults with managers in regard to appointment, evaluation and termination procedures; participates in the process of carrying through these procedures.*
10. *Identifies future manpower needs and develops programs to insure that these needs will be met.*
11. *Participates in the establishment and maintenance of staff orientation programs.*
12. *Coordinates and encourages staff development programs.*
13. *Coordinates a program of staff recruitment and monitors its effectiveness with respect to equal opportunity/affirmative action programs and other legal requirements.*
14. *Recruits and screens candidates for Library positions, and refers them to managers.*
15. *Develops informally or systematically an awareness of good people in other institutions who may become available or who may be recruited as needs arise.*
16. *Nurtures good working relationships with other University offices, for example, the University Personnel Office, Career Counseling and Placement, the Graduate Library School.*
17. *Communicates, interprets, and administers personnel policies provided by the University Personnel Office, and the Library.*
18. *Identifies areas that require personnel policies, and assists in their formulation.*
19. *Serves as a counselor in two respects: some staff members will use the personnel officer as a resource person for personal needs, for example emotional, medical or financial needs, or for articulation of career directions or opportunities. And, even though separate grievance machinery may be provided, the personnel officer may often play a role as a neutral party to the resolution of grievances.*

Intent: to provide the library system and its employees with a clearly designated, adequately staffed personnel office in order to improve recruitment, staff development, equitable personnel policies, and to effect more effective utilization of staff.

Source: Staff Development 2, 4, 5, Organization 10, Personnel A.

3. **that job descriptions be provided for all positions, that these descriptions be updated regularly, and that there be written policy regarding the purpose of job descriptions.**

Intent: to ensure that employees and employing units know specifically what is expected of the employee.

Source: Management Information B-3-d, Leadership and Supervision 3, Personnel E-3, Staff Development 5-b-2.

4. that following the writing of job descriptions for all library personnel, some shifting of descriptive titles take place.

   Intent: *to create a clear distinction between QUALITY CONTROL OFFICERS (who are responsible for production) and SUPERVISORS (who are responsible for the human resources of the library).*

   Source: Leadership and Supervision 4.

5. that there be written policy concerning personnel records, which includes the following points:

   a. what standard records are kept

   b. who has access and how

   c. what is to be forwarded to the library system administrative office for inclusion in the file

   d. how long files are kept

   e. what is forwarded to the UMCP Personnel Office.

   Intent: *to standardize personnel procedures and to keep employees aware of information retained in personnel files.*

   Source: Personnel G, Staff Development 5-c-5.

6. that an effort be made to eliminate dead-end jobs, possibly by rotation of work assignments.

   Intent: *to give an employee a broader view of the overall performance of the system, to eliminate monotony, and to provide staff members with additional knowledge and experience that could qualify them for advancement.*

   Source: Leadership and Supervision 12, Staff Development 5-c-3, 5-c-4.

7. that termination interviews be part of the resignation process, such interviews to be conducted by the Personnel Officer.

   Intent: *to ensure that the library system does not lose feedback, either positive or negative, from exiting employees.*

   Source: Personnel H-5.

8. that an *ad hoc* committee be appointed to study student assistant records, job descriptions, attendance records, *etc.*, and report on the feasibility of the possibility of a student assistant manual outlining duties and responsibilities, and comparable to the classified and associate staff handbooks.

Intent: *to standardize student assistant pay scales, job descriptions, and related personnel information, so that both the library system and the student assistants are fully aware of employment conditions.*

Source: Management Information B-3-a.

V. TO IMPROVE THE DISSEMINATION OF INFORMATION IN THE LIBRARY SYSTEM

The Study Team sees the dissemination of information as crucial to the efficient achievement of the library system's objectives and goals. The Study Team here distinguished two major types of information: A. management information, *i.e.*, information provided to supervisors and managers for decision making, and B. operating and general information, *i.e.*, information provided by managers and supervisors to the staff to provide direction and to heighten current awareness.

A. Regarding Management Information, the Study Team recommends:

1. that a guide to management information be developed and maintained and be made available within the library system. This guide should include information on the availability and use of documentation relating to the University in the Archives.

   Intent: to improve the staff's access to and awareness of information available within the library system.

   Source: Management Information A-5, C-6.

2. that a committee be appointed to gather policy statements of each unit (as opposed to statements of procedures) into a single manual, and that this manual should be made available throughout the library system. A master copy should be maintained in the library system administrative office, and copies of additions to the manual should be distributed throughout the library system.

   Intent: to act as a guide in making management decisions at all levels, in accordance with stated library system policies.

   Source: Policy F.

3. that the need, purpose, and uniformity of statistics gathered throughout the library system be carefully studied.

   Intent: to measure more effectively the various operations of the library system.

   Source: Management Information B-1-a, Planning B-7-c.

4. that the Senate's Adjunct Committee on Libraries and Instructional Aids be requested to aid the library system by assuming more responsibility for providing and identifying sources of University information.

   Intent: to increase the library system's knowledge of the entire University.

   Source: Planning A-7.

B. Regarding Operating and General Information, the Study Team recommends:

1. that the Executive Leaders make certain that the entire staff is kept fully informed of library system developments, especially decisions, events, or changes that affect the performance of the staff.

Intent: *to increase contacts with the staff, and to guide supervisors in the performance of their assignments.*

Source: *General Management C-6, Planning B-6-h.*

2. that with regard to the holding of meetings,

   a. agenda be prepared before meetings and distributed in sufficient time to allow for preparation for the meetings, and that minutes be distributed afterwards when appropriate

   b. brief training in the use, planning, and conducting of effective meetings be made available to supervisors.

Intent: *to make more effective use of meetings in the operation of the library system.*

Source: *Management Information B-4, Personnel J1, J2, General Management C-1, C-7.*

3. that objectives and guidelines be established for writing reports, including annual reports, and that a means of providing systematic response to reports be developed.

Intent: *to improve the way in which information is transmitted in reports and used thereafter.*

Source: *Management Information B-1-d, B-1-e, Planning B-7-f.*

4. that with regard to the way in which information is transmitted from the administration and supervisors,

   a. memoranda be unambiguous, consistent, and devoid of verbiage

   b. written reports of decision-making bodies be circulated to the appropriate staff

   c. directives be kept current, and all levels of management and staff be aware of directives which apply to them

   d. unit heads submitting budget requests be informed of modifications as the budget cycle progresses

   e. a study be made of possible ways to improve the courier service within the library system.

Intent: *to improve the method of transmittal and quality of information transmitted to the staff in memos, directives, and by supervisors.*

Source: *Budget A-1, General Management C-3, C-8, Management Information B-1-f, B-2-d.*

5. that with regard to providing the staff with information of a general nature on the operation of the library system,

   a. decisions made in the Library Cabinet be communicated fully and promptly to the staff

   b. copies of the asking and working budget documents be made available to the staff and kept in locations which in themselves do not inhibit the staff from consulting the documents.

   c. reliable and adequate sources of information be provided to key library administration and advisory groups in order to keep rumors to a minimum, to provide accurate information, and to keep the staff fully informed

   d. a written clarification of the present accounting system be prepared and questions concerning it be solicited and responded to.

   Intent: *to provide the staff with a better understanding of the total library system and a sense of participation, in the belief that with access to such information the staff will function more effectively in working toward the attainment of library system goals.*

   Source: *Budget A-2, General Management C-2, Management Information B-1-i, Leadership and Supervision 7.*

VI. TO IMPROVE COMMUNICATION BETWEEN THE LIBRARY SYSTEM AND THE UMCP COMMUNITY

The Study Team feels that improved communication between the library system and the UMCP community is imperative in order for the library system to better relate to the objectives of the UMCP. The energies of the library system must be appropriately expended and thereby contribute to those objectives. Moreover, the library system must further develop its awareness of user expectations. The library system has traditionally related to three major components of the UMCP community: administration, academic program, and library service users.

A. Regarding Administration, the Study Team recommends:

1. that the library system articulate its mission, objectives and goals with those of UMCP.

   Intent: *to maximize library resources, to support the UMCP program efficiently, to provide a sound base for future library system development, and to provide performance standards against which the library program can be judged.*

   Source: *Leadership and Supervision 5, Planning A-1, Policy A.*

2. that the Director of Libraries take the initiative in articulating to UMCP Administration his role as principal UMCP liaison in the area of library system planning and policy making.

   Intent: *to assist the library system in withdrawing from the crisis management mode, to strengthen leadership in the entire library system, and to provide UMCP with reliable first hand library information.*

   Source: *General Management A-1-b, Organization 1, Planning A-2, Policy B.*

3. that library system and UMCP contacts be strengthened so that the library system staff is represented on the councils and committees in which UMCP policies are made. The library system should take the initiative in this contact, particularly in regard to budgeting formulae in FY "74-'75.

   Intent: *to provide the library system with an opportunity for direct input to decisions which directly affect the system; and to provide faculty contact with a wider segment of the staff, thus strengthening library system and academic staff contacts.*

   Source: *Budget B-1, General Management A-1-a, Planning A-2.*

4. that the library system management work with the UMCP Placement Service, Personnel Office, Student Aid Office, and Human Relations Office to identify weaknesses and gaps in communication and to effect needed improvements.

Intent: *to utilize in a consistent and effective way the personnel support systems on Campus, and to make such support systems aware of library system needs.*

Source: *Management Information B-3-e, Leadership and Supervision 11.*

B. Regarding Academic Programs, the Study Team recommends:

1. that the Senate's Program, Courses and Curricula Committee withhold approval from proposed programs until requisite library system collections and staff can be provided.

Intent: *to ensure that the library system can support the UMCP academic program, and to enable the library system to respond to increased demands on its collections and staff.*

Source: *Planning A-6, Policy D.*

2. that contact between the library system staff and academic departments be strengthened-for example, by reassessing the role of library representatives in order to stress the liaison role which should exist; by broadening the scope of the Senate's Adjunct Committee on Libraries and Instructional Aids; by regular appointment of appropriate library system staff to academic division councils and similar bodies; and by broadening the participation of library system staff and decreasing the reliance on top management to represent the library system on UMCP councils and committees, such as the Senate's Adjunct Committees on Physical Development of the University and on Instruction.

Intent: *to make faculty more aware of library resources; to make library staff aware of instructional needs; to use existing library resources more efficiently; to make all levels of library system staff more visible throughout the campus community.*

Source: *General Management B-5, Management Information C-1, Planning A-3, 4, 5, A-7, 8, Policy E.*

C. Regarding Users, the Study Team recommends:

that more effective, instructive, and formalized contacts be established between library system staff and user groups.

Intent: *to improve library service by relating it more closely to user needs.*

Source: *General Management B1, B4, Management Information C-2, 3, 4, Planning B-7-b.*

VII. TO IMPROVE THE DEVELOPMENT AND UTILIZATION OF MATERIAL RESOURCES

The Study Team perceives a need in the library system to move increasingly to a planning mode. In addition, in order to minimize the debilitating effects of crisis management, the library system should establish and articulate its policies. Monitoring and assessing are seen also as integral parts of planning and policy, and, therefore, they are essential to the development and maximum utilization of material resources.

A. Regarding Planning, the Study Team recommends:

1. that an Advisory Planning Council be established. Its charge should include:

   a. to receive in writing plans from library system units, the Budget-Planning Officer, staff organizations, and individuals, and to coordinate these into an overall library system plan

   b. to evaluate the effectiveness of current library system practices, noting capabilities and deficiencies; and to assess the requirements for change

   c. to develop a system of self-control in the planning system, including measurements of performance and method for feedback, so that the effectiveness of plans and objectives can be evaluated

   d. to determine priorities, select targets, set standards of performance, set time-frames, and to assign responsibility for results of plans

   e. to develop a mechanism for stopping activities which result in unsatisfactory performance and wasted money and energy

   f. to consider techniques for improving the planning process, such as a specific planning methodology (*e.g.*, Program Evaluation and Review Technique), standardized forms for the submission of plans, and the use of experts and consultants

   g. to develop a system of keeping the units and individuals who have submitted plans informed as to the status of those plans

   h. to submit plans to the Library Cabinet for approval, rejection, or modification.

Membership of the Advisory Planning Council should be limited to seven persons, should include the Personnel Officer (*ex officio*) and the Budget-Planning Officer (*ex officio*) and should be drawn from various staff levels. The Budget-Planning Officer and the Chairman of the Advisory Planning Council should meet frequently with the Library Cabinet to review the progress of planning.

Intent: *to assist the top library system administration and the Budget-Planning Officer, to coordinate planning efforts, and to establish a formal planning process.*

Source: Organization 3, Planning B-2.

2. that each unit supervisor be given responsibility and authority for unit planning, with time allocated for planning.

   Intent: to establish planning as a responsibility of management at all levels, and to provide input to the Advisory Planning Council

   Source: Planning B-6-a.

3. that cost-benefit studies be required in all library system planning, with particular reference to automated services and technical services.

   Intent: to make more effective use of the library system's resources.

   Source: Study Team.

B. Regarding Policy-Making, the Study Team recommends:

1. that the Director of Libraries appoint an *ad hoc* committee to collect and review existing written and unwritten policy, and to identify areas where policy statements are needed. This committee should be representative of all library system divisions and should operate in consultation with the Director. Provision should be made for annual review of policies. This committee should be appointed as soon as possible, and should be instructed to complete its work by the end of the current academic year.

   Intent: to provide the library system with a clear record of all library system policies, and to up-date these policies as needed.

   Source: Policy F.

2. that the Committee to Formulate Book Selection and Collection Development Policies complete its work by the end of the current academic year. The resulting collection policy should be reviewed at regular intervals, perhaps every three years.

   Intent: to establish a working policy for collection development, and to provide for a mechanism for up-dating it, in accordance with changing needs of the UMCP community.

   Source: Policy G.

3. that the library system administration request that library system representatives be made part of the councils and committees in which UMCP policies and plans directly affecting the library system are made, and that the library system administration aggressively seek such involvement. To facilitate the attainment of these objectives, it is requested that the UMCP Administration be asked to consider the following courses of action:

a. the appointment of the Director of Libraries to the Chancellor's Council of Provosts and Deans

b. the establishment in each academic division of a permanent voting position for a library system representative on its Program, Courses and Curricula Committee, wherever this has not already been done

c. the establishment in each academic division of a library committee, with a permanent voting position for a library system representative, wherever this has not already been done

d. the appointment of representatives from the library system to the Graduate Council.

Intent: *to provide library system participation in UMCP policy formulation at all levels of the academic organization, to provide the library system with a better understanding of what will be expected of it, and to provide the UMCP community with a better understanding of the library system's capabilities.*

Source: Planning A-2-a,b,c, Study Team.

C. Regarding the Budget Process, the Study Team recommends:

1. that the library system administration present its budget to the UMCP Administration in terms of specific programs and services provided; that the library system administration aggressively seek budget guidelines from the UMCP Administration; and that units in the library system be required to present their budget requests to the library system administration in a program format, or at least to accompany their requests with programs to justify them.

Intent: *to present library system budget justifications in a format more useful to the UMCP Administration in order to enable the UMCP Administration to better understand the needs of the library system and to support its requests.*

Source: Budget A-5, B-1, 2.

2. that at three-year intervals, each library system unit prepare a review and justification of its staff and programs, such review to be used in developing the budget.

Intent: *to provide a system for periodic reevaluation of activities in order to use library system resources more effectively.*

Source: Budget A-6.

3. that the library system seek approval from cognizant groups for the following policy: academic units submitting new academic program

proposals must include documentation as to depth of relevant library holdings and/or proposals for increased holdings; and approval of such programs should be withheld, pending approval of such documentation and/or proposals by the library system's Advisory Planning Council.

Intent: *to provide more effective use of library system resources to the extent that the UMCP community will be more certain of receiving the library support it requires.*

Source: Planning A-6, Policy D.

4. that budget requests be modified to include contingencies for a normal increment of funds, a reduction of funds, and constant funding in order to facilitate the setting of priorities.

Intent: *to guide the UMCP Administration in its response to library system budget requests, and to minimize the necessity for crisis management after working budgets are received.*

Source: Budget B-3, Planning B-7-e.

5. that questions of transfer of funds from one book fund allocation to another be referred to the Library Cabinet for decision, and that justifications for transfers be given on the next fund/budget report issued.

Intent: *to provide more effective accounting and justification of budgetary changes in order to help ensure that the ramifications of such changes are fully understood.*

Source: Budget A-4.

6. that the procedure for handling invoices and materials' receipts for Special Collections conform to the procedures for all other library materials' purchasing.

Intent: *to ensure uniform handling of invoices, in order to have a better accounting of funds.*

Source: Budget A-8.

REVIEW AND IMPLEMENTATION

Following the submission of its report, the Study Team foresees two phases:

I. Review: the Director of Libraries' study of and response to the report

II. Implementation: the process by which recommendations accepted by the Director of Libraries are translated into changes in managerial practice.

I. REVIEW

The report is addressed to the Director, just as the entire study was done at his request. However, the Director has asked that the report be made available to the staff, so that in deciding what action to take in regard to the Study Team's recommendations he may have the benefit of staff opinion.

After the submission of the report, we anticipate review of the results by top and middle management, and the scheduling of staff hearings. The purpose is to provide an opportunity for staff members to communicate their opinions to the Director. It is important that the staff, at all levels, take advantage of this opportunity. Moreover, the Study Team urges that attention be focussed on its recommendations; within a few weeks after the conclusion of the staff hearings it is anticipated that the Director will respond to the report, indicating his acceptance, rejection, or modification of recommendations and outlining his plans in regard to implementation.

II. IMPLEMENTATION

In order to maintain the impetus of MRAP during the implementation period, to insure the translation of ideas into action, and to focus energy on results rather than methodology, the Study Team makes the following recommendations:

A. that the Director of Libraries publish a tentative calendar of implementation.

Intent: *to establish a basic time frame, to clarify questions of priority and feasibility, and to give staff members an overview of what to expect.*

B. that the Director of Libraries charge specific individuals and groups with responsibility for the implementation of specific recommendations.

Intent: *to define each task, to insure that each task is assigned, and to prevent jurisdictional disputes.*

C. that the Director of Libraries appoint an Implementation Review Committee to be charged with the task of monitoring the implementation process under his overall supervision. Its membership should consist of no more than seven, should reflect a spread of ranks, and should include two members of the MRAP Study Team. Appointments should be for one year, and the Committee should be chaired by someone other than a Study Team member. Its charge should include, but not be limited to, maintaining the implementation calendar, resolving jurisdictional disputes, and reporting periodically to the staff regarding the progress of implementation.

Intent: *to provide coordination, continuous evaluation, a mechanism for informing the staff as to progress, and continuity with MRAP (thereby avoiding recapitulation of it) and to provide, in itself, a continuing experience in participatory management.*

It is the hope of the Study Team that implementation of the above three recommendations will go far toward insuring that the UMCP library system's MRAP will bring both short-range and long-range benefits to the library system.

PART TWO

SUPPORTING DOCUMENTS

THE STUDY TEAM REPORT ON

THE LIBRARY SYSTEM IN ITS INSTITUTIONAL SETTING

Prepared by:

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Sharon Taber

I. HISTORY OF THE DEVELOPMENT OF THE UNIVERSITY OF MARYLAND AND ITS LIBRARIES

The conception of a university in Maryland has a history as old as American education itself. As early as 1616 Englishman George Palmer envisioned a college and art institution near Havre de Grace. Although university education continued to be important to prominent Maryland colonists, the establishment of a state university was hindered from the earliest attempts in 1782. Scattered population, religious differences, and state regionalism are recognized reasons for failure to establish a state institution at that time.

The University of Maryland can be traced to the College of Medicine which evolved in Baltimore in the early 1800's. Although a proprietary institution, in 1812 it became the University of Maryland by an act of the General Assembly. The establishment of several professional schools met with varying success, and the University failed initially to develop a successful undergraduate program.

As the professional schools emerged in Baltimore, farmers and businessmen in the State became interested in developing an agricultural college. In 1856, the Maryland legislature passed an act to create a College of Agriculture, and the institution opened in 1859 in what is now College Park. Although agrarian in concept, the curricula included courses in ancient languages, modern languages, natural sciences, English and mathematics. The school struggled through the Civil War years, and in 1866 failed to open.

When the school reopened in the fall of 1867, it was in part a State supported institution as a result of state legislation passed in February 1866. A tie had also been created with the federal government by the acceptance, in 1864, of the provisions of the Morrill Land Grant Act of 1862. This act gave federal land to each state to sell for endowment of a college; the funds realized could not be used for building construction. The College was further tied to the federal government in 1887 by the Hatch Act, which authorized $15,000 annually for the establishment of an agricultural experiment station in each state. The College was the selected site of the Maryland station, and the station and the College were joined. The second Morrill Land Grant Act of 1890 and other federal legislation brought additional finances to College Park. These national agrarian reform acts strengthened the College, and the activities of the experiment station spread its influence to rural areas. Full State control of the College was attained in 1916, creating Maryland State College, and in 1920 the state legislature merged the University of Maryland with the Maryland State College.

In 1963 the state legislature authorized the establishment of four additional University of Maryland campuses within the state: one each in Baltimore, western Maryland, southern Maryland, and on the Eastern Shore.

The development of the University of Maryland library system parallels the development of the institution. A library was established at the College of Medicine in Baltimore in 1813 with the $500 purchase of a former faculty member's personal library. Collections representative of other professional schools associated with the University were added to the library; in time these collections were separated and individual subject libraries were created for the professional schools.

During the early years of the College of Agriculture, the library was housed in a room of the College Building; it was later moved to the Dean of Women's Building, which also housed the gymnasium. During this time the two literary societies on campus also had supporting library collections. In 1901 the first library committee was organized; by 1912 library facilities were open most of the day, and the annual book budget was approximately $500. By 1914 a full-time library official had been hired; in 1915 the experiment station library merged with the College library, creating combined holdings of 15,000 items. In 1925, the library became a depository for United States government documents.

During 1931 the library was moved to what is now the Shoemaker building, where it was housed until the McKeldin Library was opened in early 1958. In 1949 a separate Engineering Library was established; this became the Engineering and Physical Sciences Library in 1953. A Health Sciences Library was opened in Baltimore in 1960 and separate Chemistry, Library School, and Architecture libraries were established as part of the College Park library system. The most recent development has been the opening of the new Undergraduate Library in the Spring of 1973. At that time the McKeldin Library and its branches became the graduate/research facilities for the College Park Campus.

At various times throughout the history of the University, its Administration has been severely criticized for failure to develop strong library facilities. As was the situation with many land grant institutions, curricula continued to develop in other than agrarian fields. Following World War II the student population grew rapidly and new graduate programs were established; the University and the library system were increasingly challenged to meet student and faculty demands and expectations. In 1961, a subcommittee of the Senate Committee on Libraries conducted a study of faculty criticism of the operational procedures of the College Park library system and, in 1963, President Elkins appointed an Ad Hoc Committee for a Study of Library Needs. Some of the recommendations of these studies have been effected by the library system, including increased hours of operation, construction of an undergraduate library, employment of a University Archivist, and increased copying facilities.

II. THE UNIVERSITY TODAY

INSTRUCTIONAL AND RESEARCH PROGRAMS

The University of Maryland, College Park, offers undergraduate programs in 72 major fields and graduate programs in 64 fields. Graduate degree programs are:

GRADUATE DEGREE PROGRAMS

Programs	Degrees Offered
COLLEGE PARK CAMPUS	
Aerospace Engineering[1]	MS, PhD
Agricultural Engineering	MS, PhD
Agricultural and Extension Education[4]	MS, AGS, PhD
Agricultural and Resource Economics	MS, PhD
Agronomy	MS, PhD
American Studies	MA, PhD
Animal Science	MS, PhD
Art	MA, PhD
Astronomy[2]	MS, PhD
Botany	MS, PhD
Business Administration[6]	MBA, DBA
Chemical Engineering	MS, PhD
Chemistry	MS, PhD
Civil Engineering	MS, PhD
Comparative Literature	MA, PhD
Computer Science	MS, PhD
Dairy Science	MS, PhD
Economics[1]	MA, PhD
Education Programs[5]	
Administration, Supervision and Curriculum[4]	MEd, MA, AGS, EdD, PhD
Adult Education[4]	MEd, MA, AGS
Counseling and Personnel Services[4]	MEd, MA, AGS, EdD, PhD
Early Childhood-Elementary Education[1]	MEd, MA, AGS, EdD, PhD
Human Development Education[4]	MEd, MA, AGS, EdD, PhD
Industrial Education[4]	MEd, MA, AGS, EdD, PhD
Measurement and Statistics[4]	MEd, MA, AGS, EdD, PhD
Secondary Education[4]	MEd, MA, AGS, EdD, PhD
Social Foundations[4]	MEd, MA, AGS, EdD, PhD
Special Education[4]	MEd, MA, AGS, EdD, PhD
Electrical Engineering	MS, PhD
English Language and Literature	MA, PhD
Entomology	MS, PhD
Food Science	MS, PhD
French and Italian Language and Literature[1]	MA, PhD
Geography[1]	MA, PhD
Germanic and Slavic Languages and Literature	MA, PhD
Government and Politics[1]	MA, PhD
History[1]	MA, PhD
Human Ecology Programs	
Food, Nutrition and Institutional Administration[3]	MS
Textiles and Consumer Economics[3]	MS
General Home Economics[3]	MS
Horticulture	MS, PhD
Journalism[3]	MA
Library and Information Services[3]	MLS, PhD
Mathematics	MA, PhD
Mechanical Engineering[1]	MS, PhD
Meteorology	MS, PhD
Microbiology[1]	MS, PhD
Music[1]	MA, MM, DMA, PhD
Nutritional Sciences	MS, PhD
Philosophy[1]	MA, PhD
Physical Education, Recreation and Health Programs	
Health Education	MA, EdD, PhD
Physical Education	MA, EdD, PhD
Recreation	MA, EdD, PhD
Physics and Astronomy[2]	MS, PhD
Poultry Science	MS, PhD
Psychology[1]	MA, MS, PhD
Sociology[1]	MA, PhD
Spanish and Portuguese Languages and Literature	MA, PhD
Speech and Dramatic Art	MA, PhD
Zoology[1]	MS, PhD

In addition to research programs within traditional academic departments, the University supports research programs in the Asphalt Institute, the Center for Materials Research, the Institute for Child Study, the Institute for Molecular Research, the Natural Resources Institute, the Wind Tunnel, etc.

Source: Maryland. University. Graduate Catalog, 1974-75.

Statistical and descriptive profile of faculty and student body:

Students:

Total enrollment, College Park	p. 43
Ages of total enrollment	p. 44
Sex and marital status	p. 45
Graduates by degree	p. 46

Faculty:

Total faculty	p. 47
Age of faculty	p. 48
Length of service	p. 49

TOTAL ENROLLMENT - COLLEGE PARK CAMPUS

Fall 1972-73

Day Program

	Men			Women			Total		
	FT	PT	Total	FT	PT	Total	FT	PT	TOTAL
Undergraduate	13577	1168	14745	11206	1194	12400	24783	2362	27145
Graduate	2082	2166	4248	1480	1541	3021	3562	3707	7269
Total	15659	3334	18993	12686	2735	15421	28435	6069	34414

First time freshmen 4753

Transfers, fall 1971 ------- 2169

Transfers, fall 1971 from Maryland junior colleges ------ 1062

University College

	Men			Women			Total		
	FT	PT	Total	FT	PT	Total	FT	PT	TOTAL
Undergraduate		6041	6041		3112	3112		9153	9153
Graduate		289	289		177	177		466	466
Total		6330	6330		3289	3289		9619	9619

Summer School 1972

Undergraduate	--	6737
Graduate	--	3204
Total		9941

Maryland. University. Division of Institutional Research. Statistical Fact Book. May, 1973

AGES OF TOTAL ENROLLMENT

College Park Campus

Spring, 1973

Age as of Jan. 1st	Full-Time Undergraduate	Part-Time Undergraduate	Graduate Students	Total
16 years of age	8	2	0	10
17 years of age	184	19	0	203
18 years of age	3730	74	3	3807
19 years of age	4543	116	3	4662
20 years of age	4732	194	6	4932
21 years of age	4201	274	64	4539
22 years of age	1543	335	352	2230
23 years of age	767	292	463	1522
24 years of age	599	247	550	1396
25 years of age	589	233	616	1438
26 years of age	463	221	626	1310
27 and over	1162	1346	4025	6533
Total	22521	3353	6708	32582
Unknown	58	17	36	111
Grand Total	22579	3370	6744	32693

Maryland. University.
Division of Institutional Research. Statistical Fact Book.
May, 1973

SEX AND MARITAL STATUS OF TOTAL ENROLLMENT, BY CLASSIFICATION
College Park Campus Fall, 1972

	Single				Married				Other				Unknown		Total	
	Male		Female		Male		Female		Male		Female					
	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Freshmen	3039	48.5	2869	44.9	192	3.0	189	3.1	7	.0	21	.0	12	.0	6379	100.0
Sophomore	2851	48.2	2590	44.0	207	3.5	229	3.8	9	.0	16	.0	9	.0	5911	100.0
Junior	2998	49.8	2270	37.7	379	6.3	318	5.3	13	.0	27	.5	15	.0	6020	100.0
Senior	3663	49.1	2526	34.0	587	8.0	615	8.2	20	.0	30	.5	13	.0	7454	100.0
Special	201	32.4	82	13.2	160	25.8	155	25.0	2	.0	13	2.0	7	1.1	620	100.0
Other	82	36.3	43	19.0	30	13.3	34	15.0	1	.0	6	3.0	30	13.0	226	100.0
Total Undergraduate	12884	48.4	10380	39.0	1555	6.0	1540	5.8	52	.2	108	.4	86	.2	26610	100.0
Graduate	1866	24.2	1128	14.7	2569	33.4	1876	24.3	35	.4	126	1.6	101	1.3	7701	100.0
TOTAL	14750	42.9	11508	33.5	4124	12.0	3416	9.9	87	.2	239	.6	187	.5	34311	100.0

Maryland. University. Statistical Fact Book.
Division of Institutional Research
April, 1973

GRADUATES BY DEGREE
1971-1972

	College Park	Baltimore City	Baltimore County	Eastern Shore	University College	Total
UNDERGRADUATE						
Bachelor of Architecture	17					17
Bachelor of Arts	1869		479	30	734	3112
Bachelor of Music	6					6
Bachelor of Science	3349			86	31	3466
Bachelor of Science in Dentistry		10				10
Bachelor of Science in Medicine		32				32
Bachelor of Science in Nursing		325				325
Bachelor of Science in Pharmacy		39				39
Total Undergraduate Degrees	5241	406	479	116	765	7007
GRADUATE						
Master of Arts	489					489
Master of Business Administration	70					70
Master of Education	337					337
Master of Library Science	189					189
Master of Music	12					12
Master of Science	300	86				386
Master of Social Work		173				173
Total Master's Degrees	1397	259				1656
Doctor of Business Administration	4					4
Doctor of Education	26					26
Doctor of Musical Arts	1					1
Doctor of Philosophy	360	13				373
Total Doctoral Degrees	391	13				404
Total Graduate Degrees	1788	272				2060
PROFESSIONAL						
Doctor of Dental Surgery		101				101
Doctor of Jurisprudence		155				155
Doctor of Medicine		136				136
Total Professional Degrees		392				392
TOTAL	7029	1070	479	116	765	9459

Source: Maryland. University. Report of the President, 1971-1972.

1972 MARYLAND FACULTY STATISTICS
College Park Campus

Academic Rank	Instruction			Research			Total		
	FT	PT	FTE	FT	PT	FTE	FT	PT	FTE
Professor	343.00	23.00	346.26	61.00	4.00	70.61	404.00	27.00	416.87
Assoc. Prof.	351.00	16.00	352.50	38.00	4.00	45.77	389.00	20.00	398.27
Asst. Prof.	384.00	13.00	392.03	53.00	3.00	53.79	437.00	16.00	445.82
Instructor	201.00	102.00	256.49	3.00	2.00	4.52	204.00	104.00	261.01
Lecturer	84.00	98.00	118.94	.00	.00	.00	84.00	98.00	118.94
Resch. Assoc.	5.00	2.00	5.77	63.00	4.00	64.74	68.00	6.00	70.51
Other Senior	29.00	1.00	30.46	30.00	3.00	34.12	59.00	4.00	64.58
Total Senior	1397.00	255.00	1502.45	248.00	20.00	273.55	1645.00	275.00	1776.00
Grad. Asst.	4.00	1281.00	434.68	1.00	349.00	117.60	5.00	1630.00	552.28
Other Junior	37.00	16.00	42.78	98.00	15.00	106.45	135.00	31.00	149.23
Final Total	1438.00	1552.00	1979.91	347.00	384.00	497.60	1785.00	1936.00	2477.51

Maryland. University. Division of Institutional Research.
Statistical Fact Book.
Division of Institutional Research
January, 1973

AGE OF FACULTY AT UNIVERSITY OF MARYLAND

College Park Campus

Fall, 1972

	Less 25*	25-30	31-35	36-40	41-45	46-50	51-55	56-60	Over 60
Professor	2	3	16	45	119	70	73	51	62
Assoc. Prof.	2	12	103	120	83	32	42	19	9
Asst. Prof.	2	118	187	79	34	21	9	10	7
Instr.	8	88	41	30	22	14	11	5	4
TOTAL	14	221	347	274	258	137	135	85	82

*Possible errors in data due to incorrect coding of material.

Maryland. University.
Division of Institutional Research. Statistical Fact Book.
April, 1973

LENGTH OF SERVICE AT THE UNIVERSITY
COLLEGE PARK CAMPUS
Fall, 1972

Years	Less 5	5-10	11-15	16-20	21-25	26-30	31-35	36-40	Over
Professor	102	123	75	56	48	23	11	1	2
Assoc. Prof.	151	194	33	20	17	5	1	0	1
Asst. Prof.	340	90	15	13	6	1	1	0	1
Instructor	157	53	5	5	1	1	1	0	0
TOTAL	750	460	128	94	72	30	14	1	4

Maryland. University.
Division of Institutional Research. Statistical Fact Book.
April, 1973

Administration, Decision-making and Policy-making within the University

The University

The legal authority to govern the University is vested in the Board of Regents. At present there are thirteen Regents, twelve of whom are appointed by the Governor, subject to the consent of the Senate; the thirteenth member is the Maryland Secretary of Agriculture, *ex officio*, with voting privileges. The Regents enjoy considerable autonomy in directing the affairs of the University, but since 1972 the Maryland Council for Higher Education has had power to approve new programs before they are implemented at the University.

The administrative officers of the University consist of the President, four Vice-Presidents, the Chancellors of each of the four campuses, Vice-Chancellors, Division Heads (Provosts), Deans, Department Chairmen, and their assistants and staff.

The College Park Campus

The recent academic reorganization of the campus has resulted in a decentralization of the decision-making process and an interchange of ideas with various campus advisory groups.

With a current enrollment of 35,000, the College Park Campus is the largest of the University campuses. Reporting to the Chancellor are the Vice-Chancellors for Academic Affairs, Academic Planning and Policy, Student Affairs, and Administrative Affairs, and the Directors of the Human Relations Program and of University Relations.

The Director of Libraries reports to the Vice-Chancellor for Academic Affairs, as do the Directors of Admissions, the Computer Science Center, and Institutional Research. The three Administrative Deans for graduate studies, undergraduate studies, and the summer program exert an indirect influence on academic policy, but the Provosts (currently Interim Chairmen) of the five academic divisions are responsible for specific academic programs and policy through budgetary and appointment authority. The Deans of the twelve colleges and the Heads of institutes and departments report to the appropriate Provosts.

The Chancellor consults with a number of advisory councils which are made up of representative groups of faculty, staff, and students, as well as the administrative officers of the campuses. These councils include the Chancellor's Council, which meets approximately every two weeks. It is made up of those members of the Administration who report directly to the Chancellor -- the Vice-Chancellors, the Director of Human Relations Programs, and the Director of University Relations.

Other advisory councils include the Council of Provosts and Deans (which also includes the Vice-Chancellors) the Faculty Advisory Council

(which is made up of approximately twenty faculty members elected by the Faculty Assembly), the Staff Advisory Council, the Graduate and and Undergraduate Advisory Councils, the Budget Committee, and the Capital Improvements Committee.

Representing the entire College Park Campus community and acting in its behalf on matters of Campus-wide concern is the College Park Campus Senate. Senators are elected from four constituencies: faculty, staff, undergraduate students, and graduate students. Although the Senate is not a policy-making body, its recommendations carry considerable weight, particularly in relation to academic matters. The Senate's Adjunct Committee on Libraries and Instructional Aids is composed of an appointed presiding officer, two faculty members from each Division, one librarian, two undergraduate students, one graduate student, and the Directors of Libraries and of the Computer Science Center or their representatives. The Committee works with the Director of Libraries in an advisory capacity in representing the needs of the library system to the UMCP Administration through Senate recommendations.

Physical Plant.

The University of Maryland, College Park is situated on 1300 acres of land. Its physical facilities consist of approximately 125 distinct buildings, including administrative, academic, and research facilities, as well as dormitories.

Below is the current projection of physical plant development for the next 12 years. The projection includes renovation projects as well as proposed new buildings. In the 1950's, the University had nearly 200 square feet of facility per student; by the mid-1960's, this had fallen to 120 square feet per student because of the greatly accelerated growth of enrollment in the 1950's and 1960's. At present, the College Park Campus is in a controlled no-growth situation; however, the UMCP building program is progressing at a constant rate with the expectation of again providing 200 square feet of facility per student by 1985.

Present and proposed building program, University of Maryland, College Park, 1974:

Building	Estimated completion
Engineering Laboratory addition	1974
Chemistry addition	1974
Art-Social Science building	1975
Industrial Education addition	1976
Mathematics addition (includes EPSL renovation)	1976
Physical Education addition	1977
Engineering addition and renovation	1977
U. S. Fisheries -- return to University use	1977
Dining Hall #1 renovation	1977
Animal Science addition	1979

Chemistry renovation	1980
U. S. Bureau of Mines -- return to University use	1980
Marie Mount Hall -- renovation	1980
McKeldin addition	1981
Center for Performing Arts	1984
Dormitory conversion to academic use	1984
Renovation of mall buildings	1986

The only projected library facility in the above list is an addition to the McKeldin Library which is scheduled for completion in 1981 at the earliest. This is not in accord with the library system's proposed building program. The system's 10-year plan, developed in 1971, proposes that the addition to the McKeldin Library be completed in 1974-75, and that a new science library be built by 1977-78. Although the addition to the McKeldin Library appears in the UMCP building projection (albeit) with a different completion date), the science library is not in the UMCP plans at all.

Financial Statement

Fiscal Year Ended June 30, 1973

Where the Operating Money Came From

State Government	$ 92,994,783
Federal Government	42,223,415
Local Government	694,007
TOTAL INCOME FROM PUBLIC SOURCES	135,912,205
TOTAL INCOME FROM STUDENT FEES	34,311,419
Endowment Fund Income	359,493
Private Gifts and Grants	5,626,607
Sales and Services	43,861,313
Miscellaneous Income	877,429
TOTAL INCOME FROM OTHER SOURCES	50,724,842
Total Income Before Transfers	220,948,466
Less Special Fund Reversions and Transfer to the State	566,051
TOTAL INCOME	$220,382,415

How The Operating Money Was Used

General and Administrative Expense		$ 19,337,330
Instruction and Departmental Research		79,560,324
Extension Education and Public Services		9,984,293
Libraries		5,926,923
Physical Plant Maintenance and Operation		16,627,670
Organized Research		25,134,093
University Hospital and other Organized Activities Related to Educational Departments		38,795,779
Auxiliary Enterprises		14,822,776
Scholarships, Fellowships and Prizes	$4,418,282	
Less Fee Remissions	3,984,433	433,849
TOTAL OPERATING EXPENDITURES		$210,623,037
Less Transfers from Self-Supporting Activities to Plant Funds		5,906,415
TOTAL EXPENDITURES		$216,529,452

Expenditures by Location

College Park Campus	$107,034,586
Baltimore Campus	37,401,304
University Hospital	32,331,146
Baltimore County Campus	12,085,093
Eastern Shore Campus	4,396,636
State Board of Agriculture	4,088,063
General University Expenses	1,963,619
Center for Environmental and Estuarine Studies	54,221
University College	11,268,369
Total Expenditures	$210,623,037

Assets on June 30, 1973

Current Funds	$ 69,012,851
Agency Funds	790,263
Endowment Funds (Book Value)	12,622,752
Physical Plant	450,064,887

The difference between income and expenditures was credited to current fund balances as follows:

$241,163 from patient fees was reserved for 1974 University Hospital operations and the remainder represents an increase in accounts receivable. The latter resulted from grants authorized by federal and state agencies but not paid by the close of the fiscal year.

Source: Maryland. University. Report of the President, 1972-1973.

III. THE LIBRARY TODAY

The libraries involved in this study - the McKeldin Library, the Undergraduate Library, the Engineering and Physical Sciences Library, the Chemistry Library and the Architecture Library - may be considered a centralized system. That is, there is a single Director of Libraries; there is central administration of planning, policy, budget, and personnel.

The Director of Libraries reports to the Vice-Chancellor for Academic Affairs. He is an *ex officio* member (with vote) of the Senate's Adjunct Committee on Libraries and Instructional Aids. He is responsible for the overall maintenance and development of the University of Maryland, College Park library system with particular attention to planning and budget. He is assisted by an Associate Director, who has specific responsibilities in the areas of personnel, purchasing, and the McKeldin Library physical plant.

The Director's Cabinet, which is the next unit of central administration, consists of the Director, the Associate Director, the Assistant Directors for Technical Services, for Reader Services, for Automation Services, and for Collections, and the Head of the Undergraduate Library. (See pages 56-65 for further organizational detail).

Library system staff members take part in library system problem solving by means of a number of active groups. For the past year the Advisory Committee on Library Automation, the Committee to Formulate Book Selection and Collection Development Policies, and the Circulation Coordinating Committee have been active. They report to the Director of Libraries. Two staff organizations, which study problems and make recommendations to the Director, are the Library Assembly (for professional staff) and the Staff Alliance (for all staff who are dues-paying members).

The total number of staff positions is 266, of which 89 are associate staff and 177 are classified staff. These descriptive terms applied to staff members are those used by the University. Librarians are considered associate staff, not faculty; other staff, such as library assistants, office secretaries and typists-clerks are State classified employees.

After the opening of the McKeldin Library in 1958, the book buying program was accelerated in an effort to bring the size of the collection up to an acceptable standard for the size of the student body. However, due to the concurrent growth of the student body (from 12,552 in 1958 to 35,000 in 1974) the library system has yet to reach its goal. The present collection of 1,600,000 volumes is only one-third the number of volumes held by institutions of comparable size. The University Administration's concept of the Library of Congress and the National Agricultural Library as resources for the University has been detrimental to the development of its own library collections.

Although the collection in general is inadequate, there are several special collections of outstanding merit. Noteworthy are: the collection of Marylandiana -- especially important in this state, because of the lack of a State library; the East Asia Collection, a unique collection of all documents published in Japan during the post-World War II occupation years; the depository collection of government documents; and the collection of technical reports from government-sponsored research projects, with particular emphasis on NASA and AEC publications.

The McKeldin Library in particular suffered for a number of years from a poor public image. This unfortunate situation is being overcome gradually as the result of a special effort on the part of many of the staff, as well as an easing of an overwhelming burden when the Undergraduate Library opened in January 1973.

The Undergraduate Library has not been in operation long enough for its effect on the total library system to be assessed. It is hoped that as the undergraduate student body makes more use of the facilities and services of the Undergraduate Library, librarians in the rest of the system will be able to devote more time to improved service for their clients, chiefly graduate students and faculty.

Plans for the future should include a reorganization and revamping of the McKeldin Library's physical plant as well as enlargement. Emphasis must be placed on collection quality as well as growth, more use should be made of data bases for bibliographic searching, and priority attention should be given to a program for active interchange with the UMCP to increase understanding and support of the library system's goals.

UNIVERSITY OF MARYLAND LIBRARIES

PROFESSIONAL EMPLOYEES 90 (5 PART TIME)
CLASSIFIED EMPLOYEES 181 (36 PART TIME)

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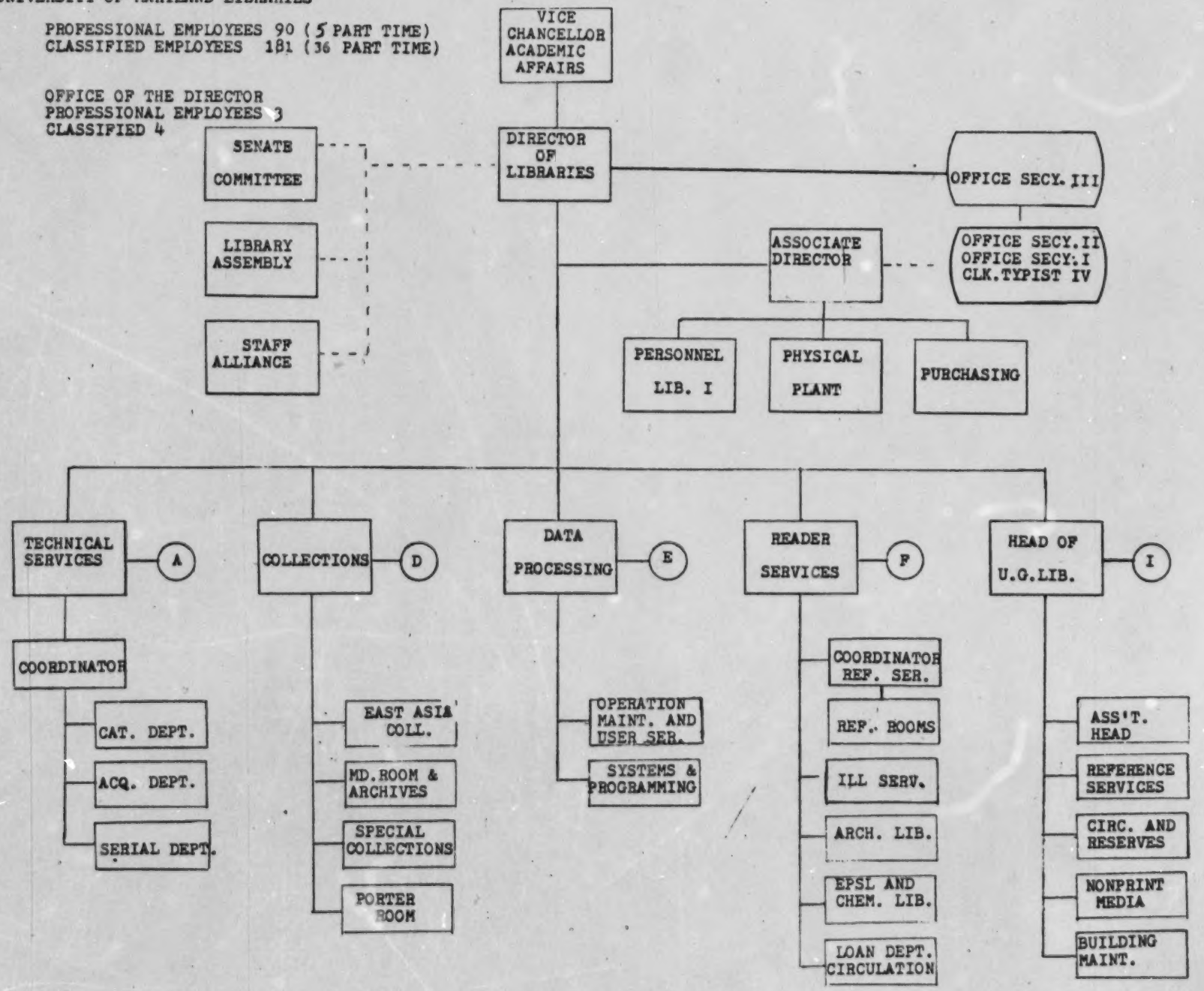
CLASSIFIED 4



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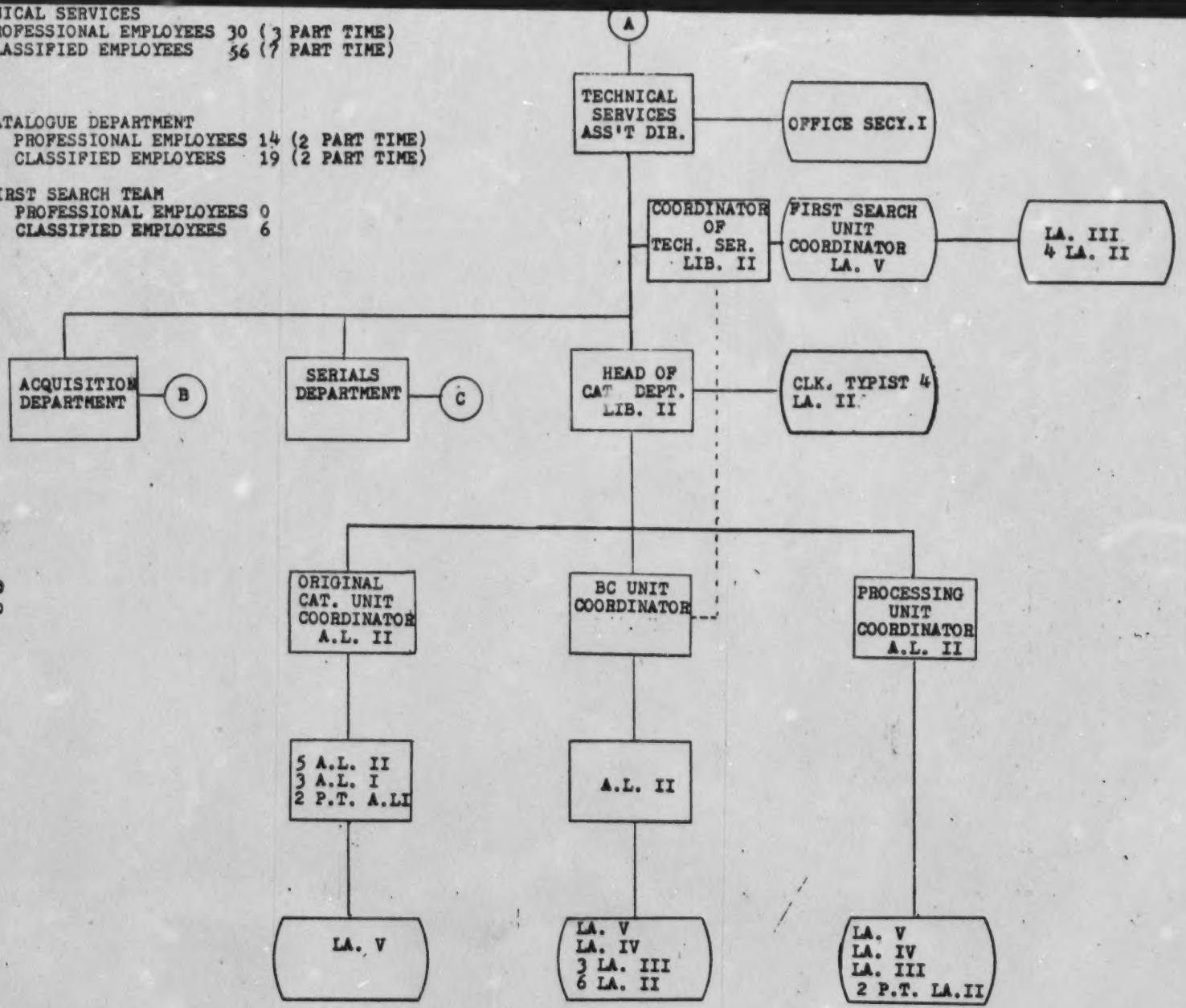

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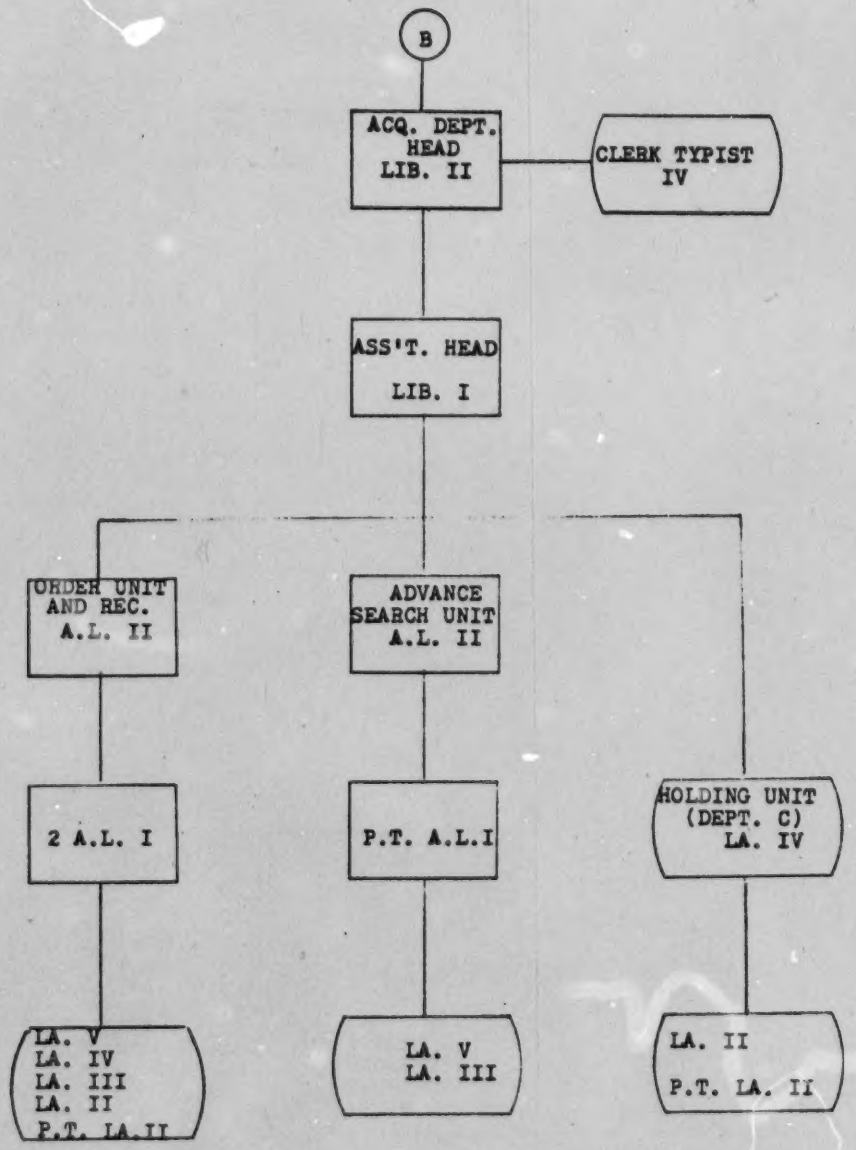

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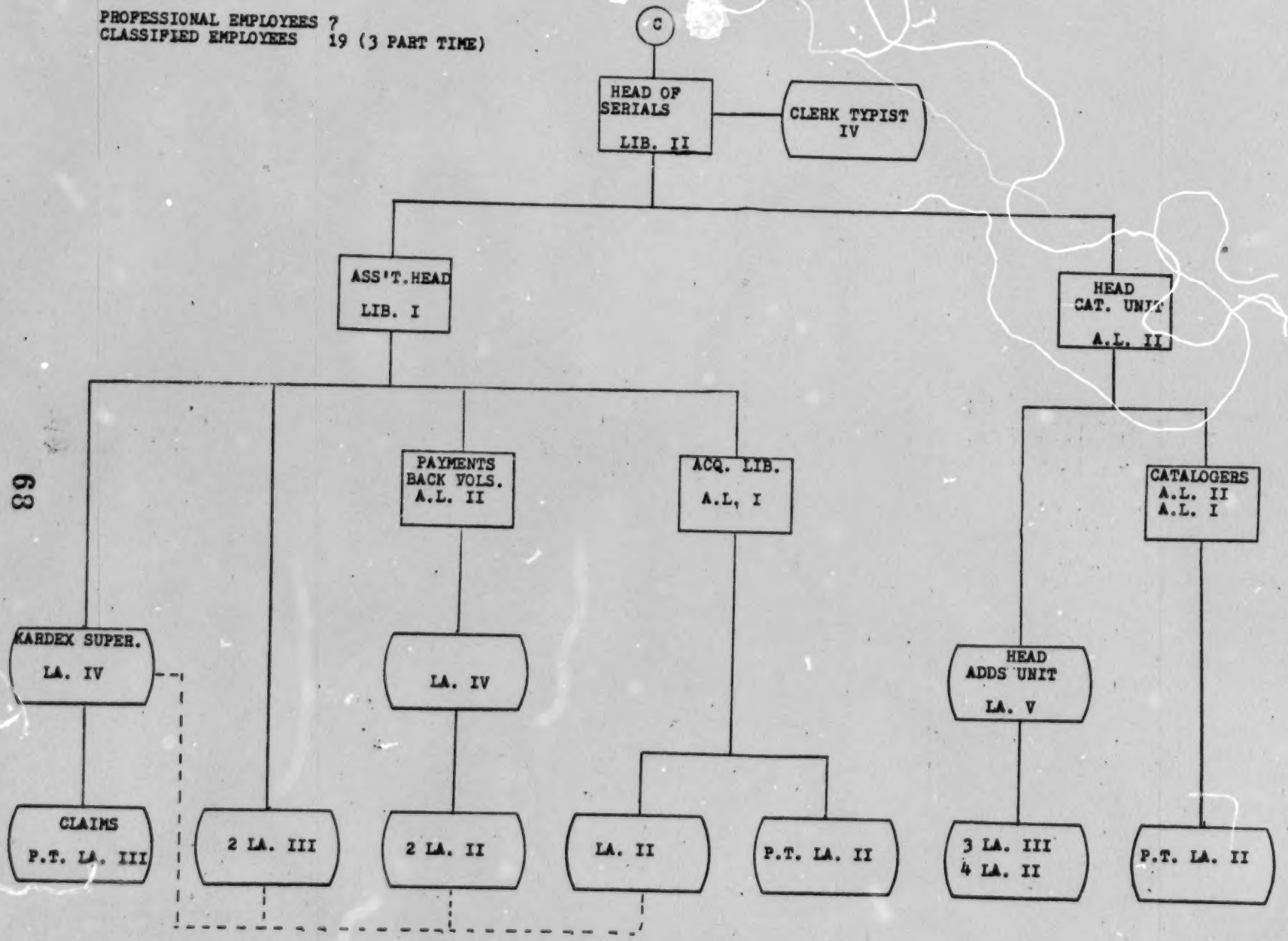

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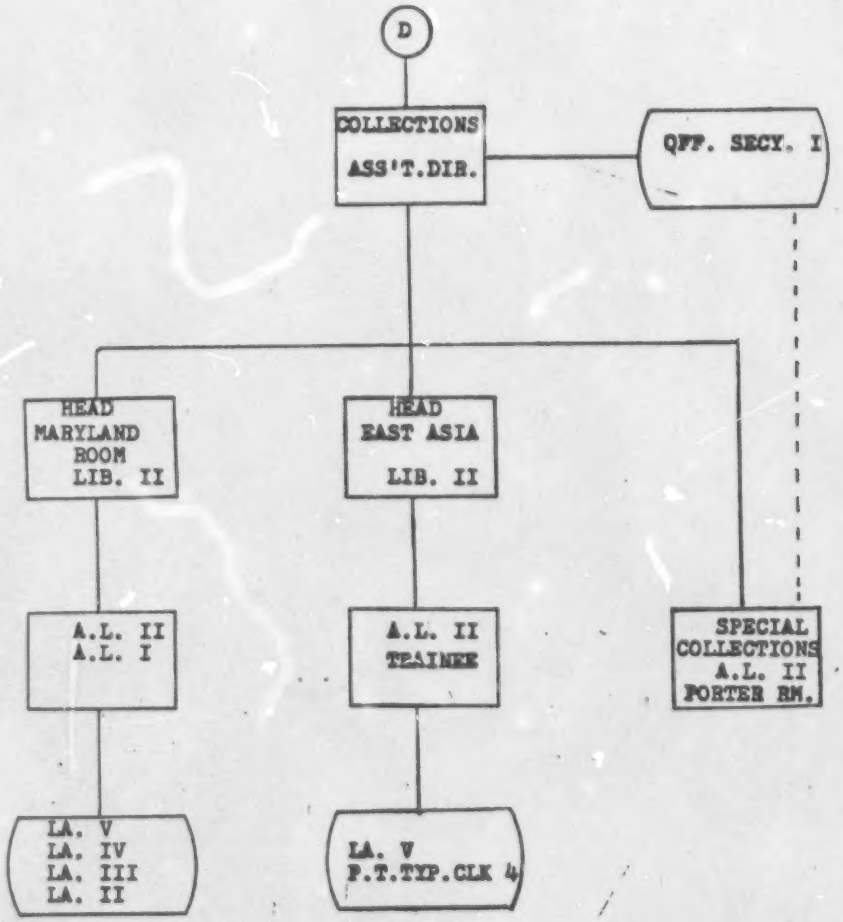
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OFF. SECY. I
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HEAD EAST ASIA LIB. II
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SPECIAL COLLECTIONS A.L. II PORTER RM.
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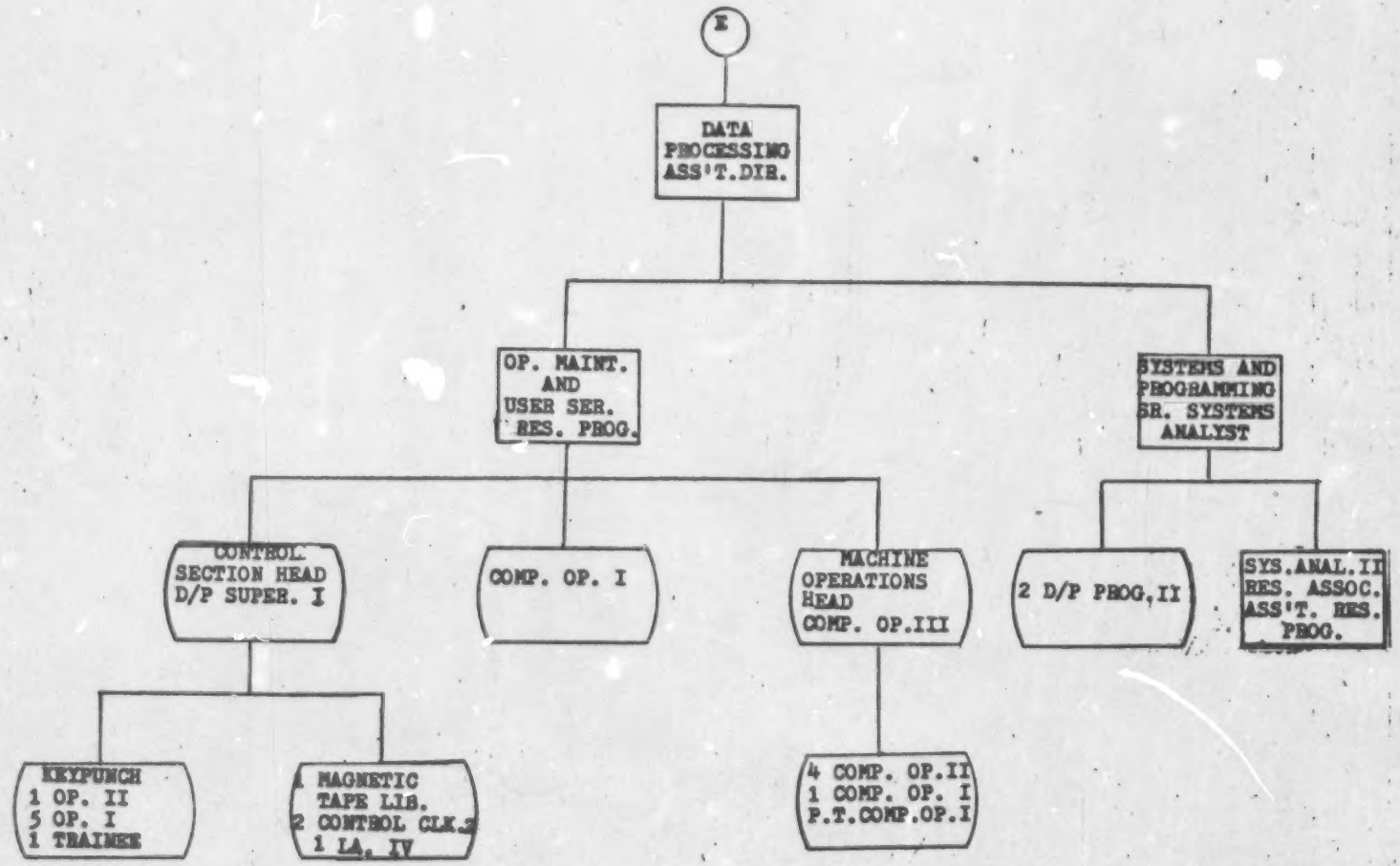
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SYSTEMS AND PROGRAMMING SR. SYSTEMS ANALYST
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COMP. OP. I
MACHINE OPERATIONS HEAD COMP. OP.III
2 D/P PROG,II
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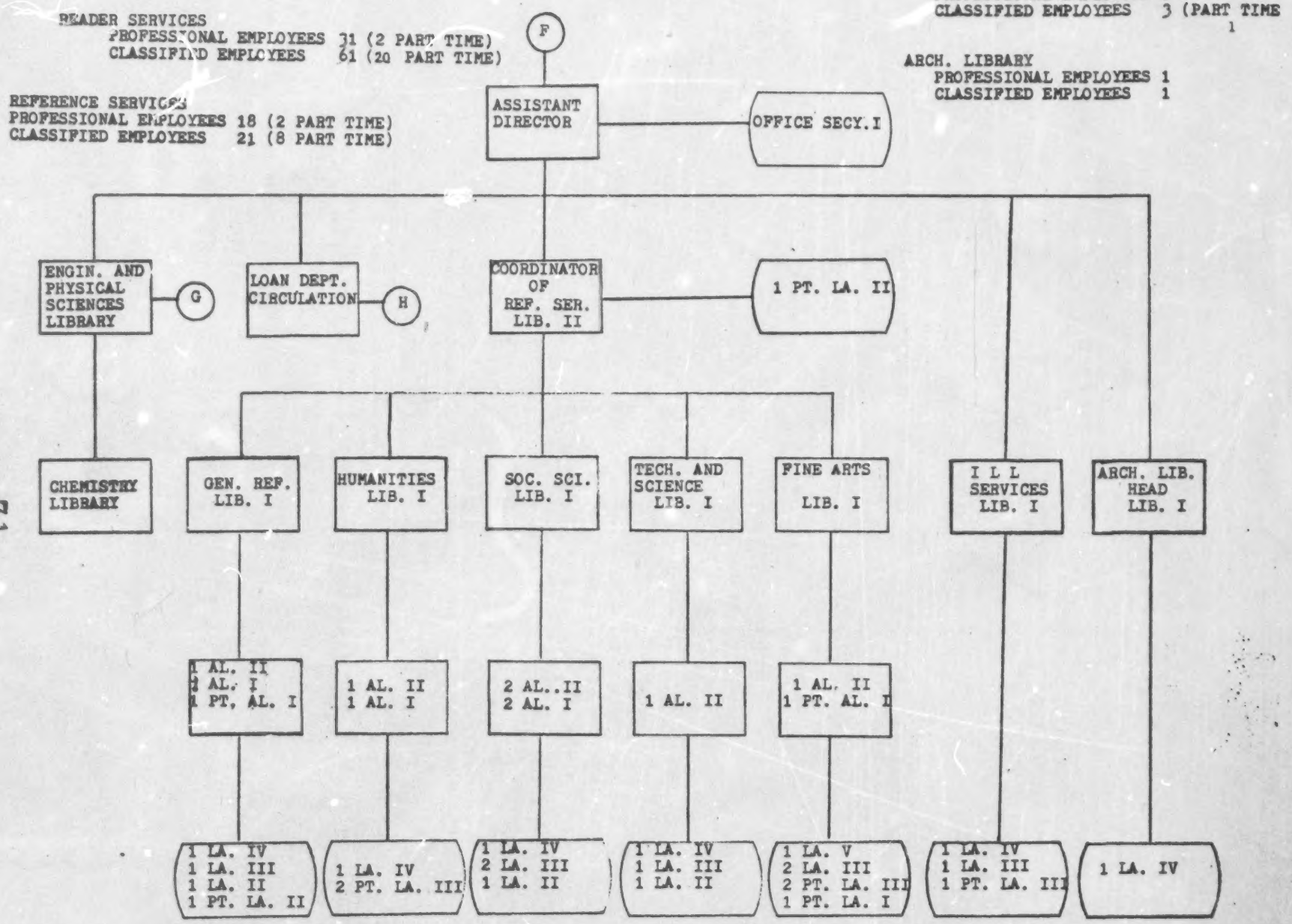
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G
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1 PT. LA. II
CHEMISTRY LIBRARY
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SOC. SCI. LIB. I
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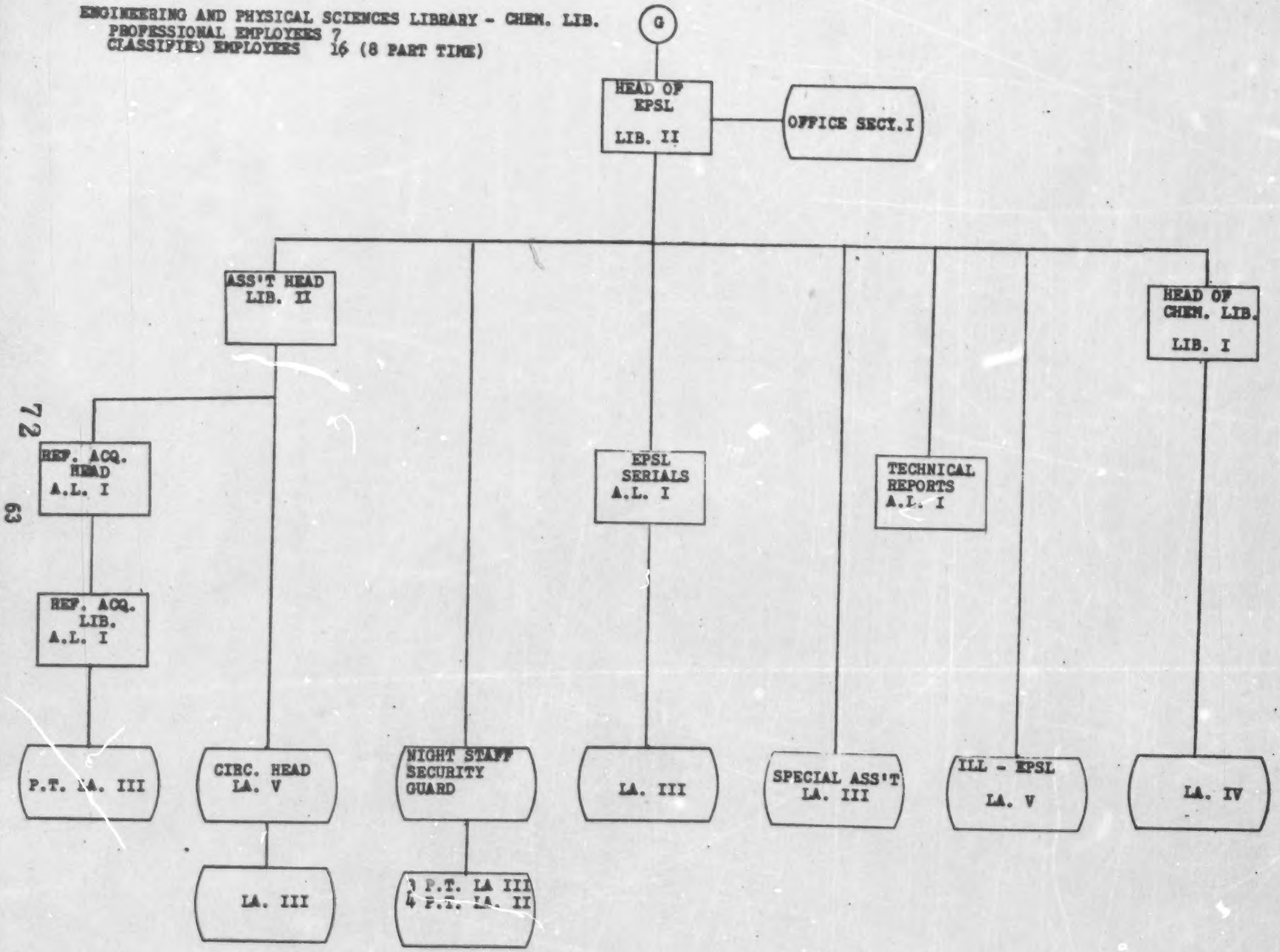

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MCKELDIN LIBRARY LOAN DEPT
CIRCULATION

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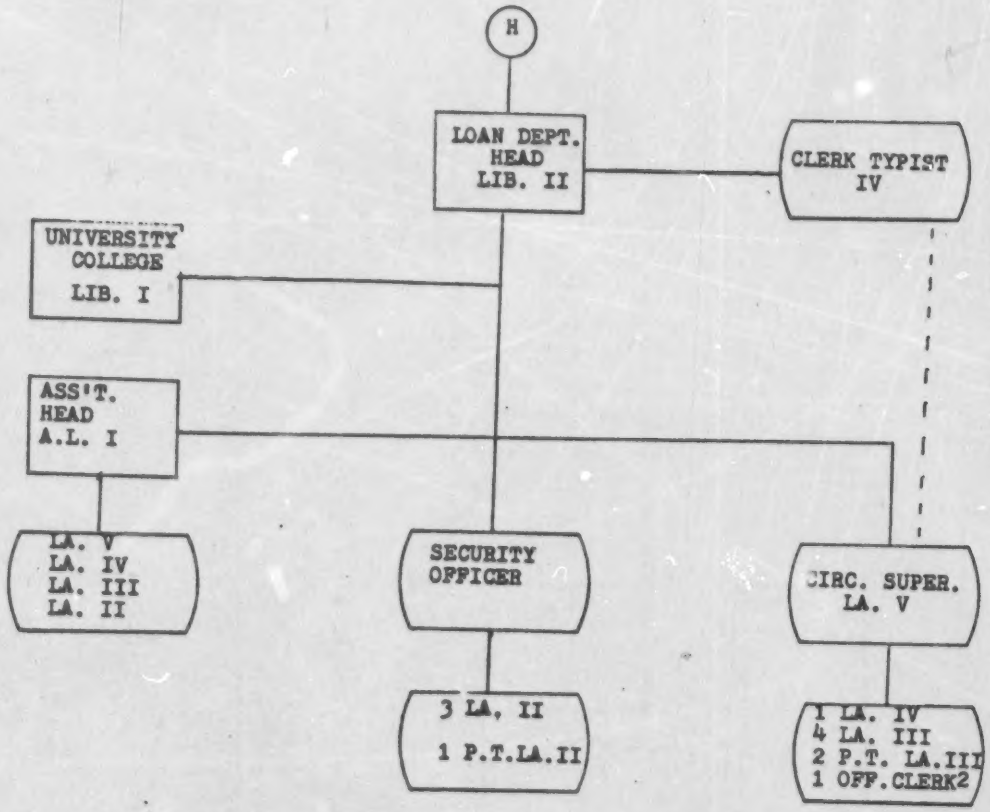

U. O. LIBRARY

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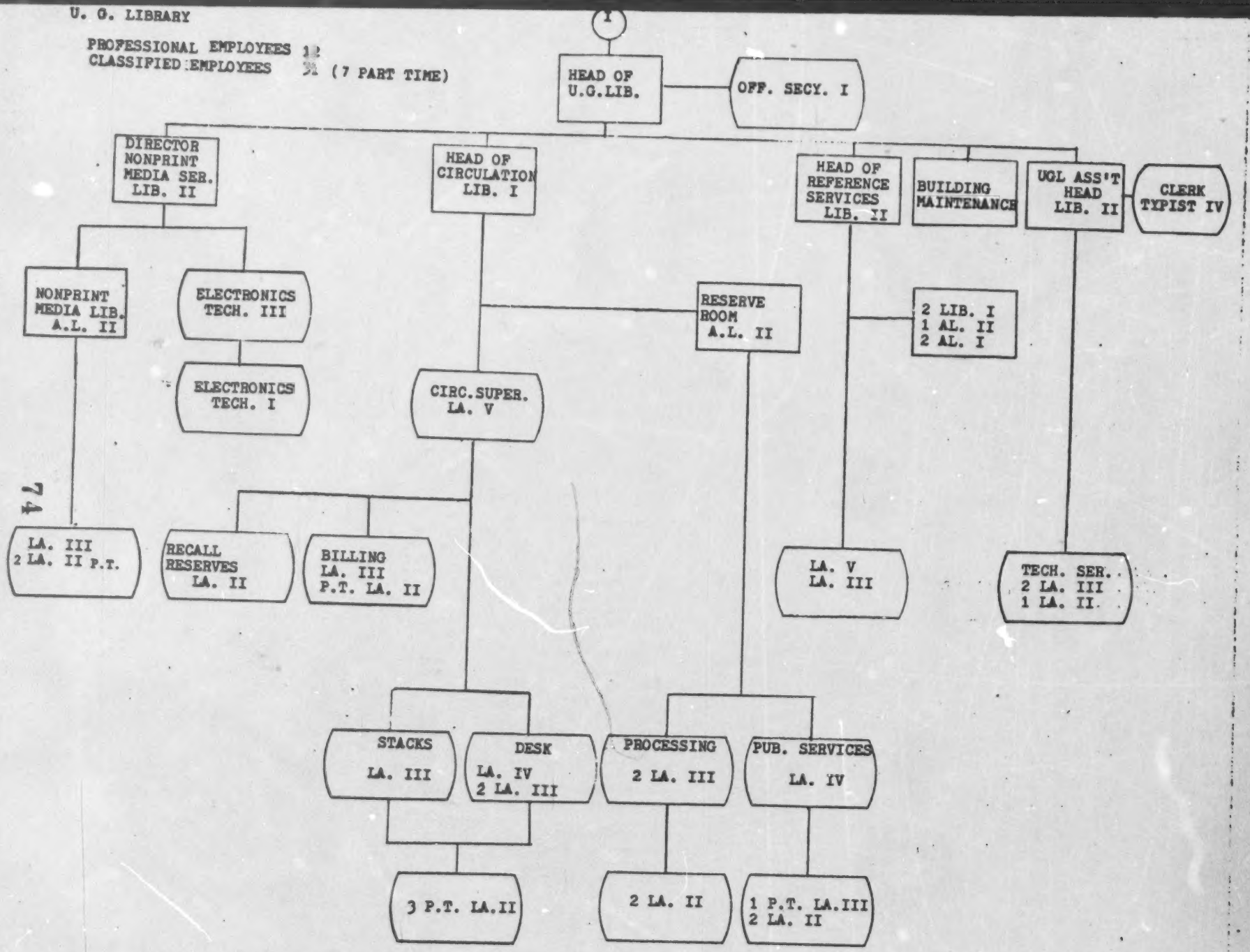

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THE STUDY TEAM REPORT

ON

CURRENT TRENDS IN HIGHER EDUCATION

AND THE UMCP RESPONSE

Prepared by:
Jack Siggins

CURRENT TRENDS AND THE UNIVERSITY'S RESPONSE

INTRODUCTION

For a period of nearly fifteen years, beginning in the mid-1950's, higher education sustained a phenomenal rate of growth. Principal factors behind this development were the continuing increase in the rate of college entrance by high school graduates, a 50 per cent increase in the size of the college-age group (eighteen to twenty-one), and - until about 1967 - a rapid expansion of university research activity supported by the federal government. Today, as one looks ahead fifteen years, it is apparent that each of these stimuli will either abate or turn into a negative factor. College entrance rates have climbed consistently over the last fifteen years, but they are now up to nearly 75 per cent of high school graduates with slim prospects that this rate will remain the same, let alone increase. At the same time, the rate of growth of the college-age group has already diminished and, by the end of the decade, the age group will shrink almost as fast as it grew in the mid-1960's. These two trends indicate a decline in the potential number of students attending four-year colleges in the coming decade. Federal support for university research is likely to continue to decrease or, at the very least, be changed as to the form in which it is dispensed.

In an effort to establish a bachground for the MRAP study, this section attempts to identify present conditions and the response of the University of Maryland at College Park (UMCP) to the trends in higher education mentioned above, as well as to others. Since decisions and the educational philosophy of UMCP directly affect the role of the library system in the educational process, the response of the UMCP to various pressures and trends have important implications for the library system. While the relative importance of various trends may differ among educational institutions, it is felt that at UMCP the most prominent trends are in the areas of students, faculty, staffing and facilities, administration and governance, budget and accountability, and instruction and research.

I. STUDENTS

At the beginning of the 1973/74 academic year, there were 33,299 students enrolled at UMCP. Of these, 26, 192 were undergraduate students and 7,107 were graduate students. These figures represent a slight decline, which is a relatively new experience for the Campus. From 1934 to 1954, enrollment grew from 3,000 to 12,000. After 1954, enrollment increased almost 200 per cent, reaching a peak in 1971/72 with a total student body of 35,261. Projected undergraduate and graduate enrollment for 1974/75 is 31,141 (FTE*Day), although this figure may be too high since actual enrollments for 1972/73 were approximately 1,225 below predictions, and actual enrollments for 1973/74 were approximately 1,950 below.

* According to the UMCP Registrar's Office, FTE Day (Full-Time Equivalent-Day) enrollment is determined by adding one-third of the number of part-time students registered to the number of full-time students.

The drop has occured primarily in the undergraduate student population figures.

Part of the decline is the result of specific policies enacted by the Board of Regents in November 1971, to effect a ceiling on the size of the student population at UMCP. But the decrease is also associated with declining growth of college enrollment throughout the nation, and this fact is cause of serious concern to UMCP. The Administration is currently reassessing its projections, as well as its recruitment and admission policies. At the same time, it is becoming more aggressive in recruiting outstanding students to the Campus. UMCP is attracting more top graduates from high schools. More than half of the entering freshmen in fall 1973 ranked in the top 25 per cent of their high school graduating classes.

Graduate education has always been a secondary objective at UMCP, with undergraduate education the primary concern. The University is projecting that the proportions of the total enrollment at UMCP will change significantly: the proportion of lower level undergraduate enrollment is expected to decline from 43 per cent in 1971 to 37 per cent in 1975 and 1980, and 36 per cent in 1985; upper level undergraduate enrollment is expected to increase from 40 per cent in 1971 to 45 per cent in 1975 and thereafter remain more or less stable. At the same time, graduate student enrollment will increase from 17 per cent in 1971 to 18 per cent in 1975 and 19 per cent in 1980 and 1985. However, if the nationwide job market for persons with advanced degrees declines and the need for new Ph.D's to fill faculty positions continues to drop, these projections may be too high. In such cases, there may be pressures on universities to reevaluate their graduate programs with an eye toward reducing their sizes. At UMCP, which, of all the University of Maryland campuses, has the primary responsibility for graduate programs other than professional schools, this pressure may be easier to resist than at other universities. However, some reduction in size, number, and even quality may be expected in graduate degree programs at UMCP over the next fifteen years.

Currently, over two-thirds of the students live off-campus. This large commuting segment presents special problems to UMCP in terms of demands for parking and recreational facilities, class scheduling, building utilization, operating hours, and study and lounge facilities. Public transportation to and from the campus serves only a marginal number of students, forcing most students living off-campus to rely on automobiles for transportation. The heavy flow of automobiles and between-class pedestrians not only burdens roads and sidewalks but also makes efficient use of students' time even more imperative. The impact of reduced and costlier gasoline supplies on student routines has not yet been fully determined, but undoubtedly it will be significant.

As UMCP has stabilized its enrollment at the current level, the problem of articulation with community colleges has become more important. An increasingly greater proportion of students are attending community colleges, and greater demands will be made on UMCP to effect a smooth transition for those community college graduates who wish to further their

education. In addition, more students are interrupting their education to gain other experience, or to work in order to pay for their education. A recent study has shown that at UMCP an average of 4,5 years is required for a student to complete requirements for a Bachelor of Arts degree. Recognizing this fact, UMCP has simplified procedures for temporary exiting from and re-entry to degree programs.

As has occurred at other American universities, the dominant white middle-class values governing every aspect of university life at UMCP have been challenged by increased pressure for greater enrollment of minority students. Enrollment at the beginning of the 1973/74 academic year included 3,201 students of minority races, of whom 2,046 were black. Within the last few years, UMCP has established policies and programs for increasing the enrollment, retention, and graduation of students from minority groups. The goal of UMCP is, by 1976, to increase the proportion of undergraduate minority students to at least equal that proportion graduating from the State's high schools; the current proportion is roughly two-thirds. The proportion of minorities in graduate enrollment is roughly equal to the national average at this time. The minimum goal of UMCP is to maintain this situation, while attempting at all times to exceed the national average. Black student enrollment at UMCP has increased from two per cent in 1968 to six per cent in 1973. During the same period, the black undergraduate student body has increased from two per cent to seven per cent, and the black graduate student body from two per cent to four per cent. In 1973, all other minority groups (Oriental, Spanish surname, and Native American) comprised two per cent of the undergraduate students and two per cent of the graduate students.

II. FACULTY

Faculty morale at universities across the country is reported to be low. The major factors contributing to this are the economic situation (cutbacks or leveling off of regular budget support and reduction of federal subsidy for research), the Ph.D. surplus, and uncertainty as to the university's role in society. Whereas the 1950's and most of the 1960's were years of unprecedented growth in enrollment and in job opportunities for faculty members, the outlook now is very different. According to a paper prepared by Allan M. Cartter for the Carnegie Commission on Higher Education (*Faculty Needs and Resources in American Higher Education,* August 1972), faculty job opportunities in the late 1970's, and especially in the 1980's, will gradually decline as the need for new faculty to meet expansion in enrollment falls essentially to zero. After 1975, the demand for new college and university teachers with doctorates is likely to drop from 15,000 annually to close to zero in the 1984-88 period, unless there are marked changes in customary student/faculty ratios or college enrollment trends.

These prospects have important national implications for the academic profession. At present, for example, American college and university faculties are abnormally "young" because of the large numbers of new faculty members recruited during the 1950's and 1960's. Assuming no

dramatic change in retirement programs and policies, there will be relatively few retirements over the next fifteen years, and this fact, combined with a relatively small number of new positions, means that the average age of faculties is likely to rise appreciably. Cartter calculates that the median age of faculty members nationwide could go up from 30 in 1970 to 42 by 1980 and perhaps 48 by 1990.

At UMCP, the Ph.D. surplus could have the effect of demoralizing not only graduate students but those non-tenured faculty members who find their positions increasingly precarious. Departments will be hard-pressed to avoid becoming "tenured in", that is, a situation in which too many tenured professors are in a department, with the result that fewer young faculty may be added. Currently, approximately two-thirds of the faculty at UMCP are tenured. Contributing to the problem is the pressure within departments brought on by the marked disparity in quality of faculty. As the chairman of one of the academic divisions pointed out, in most of the departments in that division, the newer associate and assistant professors are generally of a much higher quality in terms of education, publications, teaching abilities, initiative and innovation than the full professors who have been at UMCP for several years and who are holding out until retirement. Recruitment, promotion and tenure policies must seek to provide incentives for young members of the faculty.

In response to growing job uncertainty and increasing interest in faculty influence on decision-making regarding university affairs, collective bargaining is being considered seriously by some of the faculty in the belief that excellence requires working conditions and compensation consistent with excellence. At UMCP, the Senate is currently the primary means of ensuring that all constituencies have a voice in decisions that affect them. However, two bills have been introduced in the Maryland General Assembly which would allow collective bargaining in higher education. Both the Maryland State Teachers Association and the College Park chapter of the American Association of University Professors are discussing the ramifications of collective bargaining.

Other factors are causing changes in the overall characteristics of faculty at UMCP. Equal employment opportunities are resulting in increasing numbers of women and ethnic minorities in the faculty. Minority representation on the faculty at large at UMCP is presently equal to or in excess of the national proportion of Ph.D.'s held by minorities and is reflective of the national distribution among academic areas. The UMCP policy is to strive for a percentage above that rising minimum and closely approximating the national percentage of minorities in the graduate schools in the previous two or three years. For instance, at present the goal is to have black representation in faculty appointments above two per cent (the percentage of Ph.D.'s in the country held by black Americans), and close to four per cent of graduate students (the percentage of black graduate students nationally). Both of these percentages are expected to rise.

III. STAFFING AND FACILITIES

Within the limitations of its budget, UMCP is seeking the development

of new specialized professional and technical staff positions. Personnel highly trained in business and management techniques are gradually being placed into middle-management positions. Examples of this policy are recent appointments in the administrative departments of Admissions, Personnel, Budget, and Food Management. The Administration feels the need to seek out and develop persons with professional and technical skills if UMCP is to keep up with the growing demands of higher education. Within the library system, persons with special skills not usually associated with professional tasks of librarians have been appointed to several positions. Systems analysts and automation experts have been appointed to the Data Processing unit. However, UMCP is finding it difficult to place persons with more specialized skills into the administrative structure at a rate fast enough to keep up with the rapidly growing demands of the university community.

While the enrollment at UMCP was increasing over the last twenty years, the Campus was hard-pressed to provide adequate facilities to keep abreast of demands for more space. UMCP provides housing for only 8,200 single students and 500 married students. There are no on-campus living facilities for either unmarried graduate students or married undergraduate students. Moreover, UMCP is not planning to expand housing above current levels through 1985. In the past, limited dormitory facilities were used as a method for controlling the size of the student population at UMCP. Plans for expansion made in the 1930's and 40's quickly proved inadequate. Buildings were constructed with little real consideration of an ultimate, campus-wide plan. The result was over-crowding, awkward placement of buildings, and inadequate design. Architects and University planners have been severely handicapped by a University-imposed requirement that building facades be uniformly designed in the Georgian style, no matter what the function of the building. Only a few structures have been able to avoid this burden, and those only partially. The result has been to subordinate usable space and function to sterile design. Because of the sameness of style, it is often difficult to establish your location on campus. Not only are buildings uniform but the facade requirements have added costs and imposed limitations on functions to be performed inside the building. A good example of the extent of this problem is the Undergraduate Library, which was completed in 1972. Not only is there nothing on the outside to distinguish this building from others on the campus as a library, but also the gigantic Georgian or pseudo-Georgian columns placed in front of such an enormous, five-story structure make the overall effect *"ludicrous"*, according to the Master Planner. The balance and function of the Undergraduate Library are further compromised by the addition at one end of the building of facilities for the College of Library and Information Service. These handicaps were imposed despite the arguments of the library administration.

The UMCP Administration is constantly scrutinizing its current situation and future needs with regard to facilities. In light of the failure of the state government to provide requested funds for facilities at a rate sufficient to keep pace with demands and needs, the Administration not only continuously reviews its construction priorities, but also has had to adjust to the pervading problem of inadequate space.

In comparison with other campuses with large enrollments arounds the nation, UMCP building space is far below the average in gross square feet per student, and in fact ranks almost at the bottom. Moreover, UMCP falls behind the average square foot per student average for Maryland state colleges. There are approximately 68 square feet of academic support floor space (classrooms, laboratories and non-residential areas) per student at UMCP, while the state college average is 82 square feet. As might be expected, UMCP's long-range plan for construction is significantly behind schedule. An addition to the McKeldin Library, for instance, was determined in 1971 as being needed by 1977; resistance to funding requests, however, has delayed completion until 1981 at the earliest.

In April 1971, UMCP signed an agreement with the consulting firm of Richardson, Severns, Scheeler and Associates of Champaign, Illinois, for the preparation of a master plan for UMCP. This long-range plan for the physical development of the College Park Campus is divided into two phases. The first phase deals principally with data gathering and analysis of the Campus and surrounding region. Phase II will deal with the detailed plan development which will serve as a guide to continued orderly growth of the Campus and its relationship to overall development of the region. Phast I has been completed and the report was submitted to the University in November 1973. The detailed planning in Phase II is expected to provide a program which will create a framework for the orderly elimination of deficiencies and renewal of physical facilities to meet changing educational and service requirements.

IV. ADMINISTRATION AND GOVERNANCE

The College Park Campus is the largest in the University of Maryland system, which also includes UM-Baltimore campus, UM-Eastern Shore, UM-Baltimore County, and University College (for continuing education, headquartered at College Park). The state college system and the community colleges are included with the University of Maryland in the total state public higher education system. In 1969, the University adopted the Chancellor system, with a President and Vice-Presidents responsible for the entire University system. Other high-level officers of UMCP include the Vice-Chancellors for Academic Affairs, Academic Planning and Policy, Administrative Affairs, and Student Affairs.

The government of the University of Maryland is vested in a Board of Regents. The Board consists of thirteen members appointed by the Governor with the consent of the state legislature. With the major exception of fiscal matters, the Board of Regents has been autonomous with reference to every department of the University, and subject only to the necessary supervision of the executive and legislative branches of the state government. The annual budget for the University is submitted by the Board of Regents to the Governor, who passes it on to the State Legislature after making changes. The legislature is restricted by law from adding to the Governor's budget for the University, and may only reduce

it. Recently the Maryland Council for Higher Education has been given responsibility by the legislature for coordinating long-range educational planning and policy. Final approval of the Council must be obtained for any new degree program proposed by any of the campuses. One of the purposes for giving the Council this authority is to reduce duplication of programs at the various institutions. This adds still another approving body to all the others in existence, in the process of achieving innovation in the University of Maryland system. At UMCP many administrators and faculty are concerned that the effect of this new arrangement will be to stultify responsiveness.

Shortly after his arrival at UMCP in 1970, the Chancellor established the Academic Organization Study Committee to assist him in finding realizable new programs and effective academic structures that would help UMCP meet the challenges of the future. Consisting of representatives from the faculty, administration, undergraduate student and graduate student bodies (but no staff members), the Committee studied both UMCP structure and that of other universities. For three months the Committee held open hearings and invited students, faculty, and staff to make their comments, recommendations, and suggestions for changes. After receiving reactions from representatives of the UMCP community to its interim report, the Committee submitted its final report to the Chancellor in May 1971. Although the Committee was most concerned with direct operational changes, it did not take specific positions, except for a few issues where there was little or no disagreement. Instead, the Committee presented the Chancellor with a set of options for changes in the programs and structures of UMCP, together with opinions as to the consequences of these changes. In August 1971, the Chancellor submitted his *"Proposals on Academic Reorganization"* to the College Park Campus Senate of the University of Maryland and to the Board of Regents. Both bodies approved the plan with some revisions.

Many of the proposals have already been implemented. The *"Proposals on Reorganization"* recognizes the need to further the development of interdisciplinary curricula. To help fill this need, the new structure called for the establishment of five academic divisions. Each division represents the organization of interdisciplinary and multidisciplinary efforts among closely related disciplines. Each college, school, department, and other unit was placed into one of the divisions: Life Sciences and Agriculture; Mathematical and Physical Sciences and Engineering, Behavioral and Social Sciences, Arts and Humanities, and Human and Community Resources. Each division will be headed by a Provost. The divisional reorganization is viewed as the establishment of five vertical lines of communication between the Office of Academic Affairs and the faculty. The faculty of the divisions will have better communication by virtue of the governance instruments of those divisions. Interdivisional communication will be fostered through the Office of Academic Affairs, and, especially, through the Administrative Deanships for Graduate Studies, for Undergraduate Studies, for Summer Programs, and for Academic Services and Facilities.

In the 1970/71 academic year, the College Park Campus Senate was

established at UMCP with representation from faculty, staff, and both graduate and undergraduate students. It is this body that discussed and approved the *"Proposals on Academic Reorganization"*. The Senate, partly through its standing and adjunct committees, serves as both an advisory and approval body on a broad spectrum of subjects involving UMCP policy: libraries, programs and curricula, and physical development of the University, to mention a few.

The Senate was organized with the principle in mind that *"reciprocal responsibility on the part of all members of the community is essential and carries with it the right of participatory membership."* The College Park *"community"*, as defined by the Senate, consists of administrators, classified personnel, faculty, research scholars, and other full-time staff members. However, because of the way in which representation is apportioned, the Senate is dominated by the faculty. Faculty senators comprise roughly 66 per cent of the total voting membership, while the undergraduates have 16 per cent, graduate students have 4 per cent, UMCP administrators 8 per cent, and the support staff, including librarians, 6 per cent. The UMCP professional librarian organization appealed for a ratio of representation closer to that of the faculty, which would have given librarians four Senators, but its appeal was turned down by the faculty-dominated committee writing the Senate Plan of Organization. Consequently, 92 librarians have only one voting representative to the Senate, a numerically insignificant factor in important deliberations.

After his appointment in 1970, the Chancellor was faced with the problem of filling several high-level administrative posts, including all the UMCP Vice-Chancellorships and a few Deanships. Almost all of the persons he selected to serve in these positions as his chief advisors and administrators were from the UMCP faculty. Chosen because of their previously demonstrated leadership abilities, they brought with them the faculty's view of problems at UMCP, and, along with the reorganization of the College Park Campus Senate, strengthened the already dominant faculty orientation among University decision-makers. The Chancellor also has advisory councils made up of undergraduates, graduates and the staff, but their influence on the decision-making process appears to be minor when compared with that of the faculty.

V. BUDGETING AND ACCOUNTABILITY

Several statistics can be cited to shed light on the nature of budgetary matters at UMCP and the University of Maryland in general, but one of the most revealing is the fact that Maryland is among the nation's top ten states in per capita income but in the bottom ten in money spent on higher education. A reputation for parsimoniousness has permeated every level of the University Administration. To students, faculty or staff members recommending innovations, the familiar reason for denying requests coming from administrators, department chairmen, and supervisors is the unavailability of funds. As budget requests move up the University hierarchy, they are studied in light of what past experience has shown to be successful, not just what is needed. Consequently, need is often subordinated to political expediency. For example, a building which is desperately needed for the UMCP campus will likely be dropped to a lower

level in the University's priorities, if the Administration senses that the state legislature is disinclined to support that type of construction. There is a strong feeling among UMCP administrators that one of their primary functions in relationship to the governing boards and state legislature is to educate these bodies as to the functions and needs of the Campus, hopefully with the result that they will respond more favorably to the requirements of higher education.

In the period of the 1950's and early 1960's, when an atmosphere of campus expansion and powerful football teams seemed to provide sufficient justification, funds were more readily available than ever before, especially for physical development of the campus. But as the economy tightened in the late 1960's and as the campuses were disrupted by social unrest in the 1970's, State support for higher education in Maryland declined. State funds for the University of Maryland amounted last year to only 42 per cent of the University's budget, an amount which makes the University state-assisted, not state-supported. As the ability to make improvements from State appropriations has declined, the University increasingly has had to seek more financial support from other sources, especially the Federal Government and private foundations. Currently, the University's endowment is small ($16 million). Private gifts are seen by the University Administration as absolutely essential but inadequate, needing doubling during the next five years. Last year only $5.7 million were collected as private gifts, comprising less than three per cent of the University's operating budget. With only six per cent of the approximately 93,000 alumni giving money to the University each year, the success of the University in obtaining endowments and gifts can be fairly characterized as marginal.

Other budget problems confront UMCP. A recent development in statewide institutional governance is the implementation of *"formula budgeting"*. Pressures for this approach to funding for institutions of higher education stem primarily from rising costs and the desire of state coordinating agencies to establish criteria that assure comparability of treatment among institutions. Simply stated, *"formula budgeting"* would allocate funds to University departments on the basis of past performance by means of a rigorously derived, mechanistically applied formula. The UMCP Administration fears that the effect would be to hamper the development of academic excellence. The shift in federal funding from *"basic"* to *"applied"* research has brought about significant redistribution of research support within the University. Federal money received by the University now tends to be mission-oriented, rather than for general University development. For instance, UMCP is currently receiving money specifically to support studies to find solutions to the energy problem. But as a State institution, UMCP must also find funds to support the more general goals of service to the public and the extension of knowledge on the undergraduate, graduate, post-graduate, and continuing education levels. A step frequently taken in recent years has been to increase tuition. Students at UMCP now pay one of the highest percentages of the total cost of their education among state universities in this country, and the Administration has proposed to increase it. As the cost goes up and financial status consequently becomes more critical, most post-secondary school education will become inaccessible to an increasingly larger segment of Maryland

citizens. It would seem to follow that support for higher education, especially among those citizens priced out of easy access to it, inevitably will drop in Maryland.

VI. INSTRUCTION AND RESEARCH

In the 1960's, UMCP, like other universities in this country, took on greater responsibility for trying to help solve major social problems. It discovered, however, that such solutions were largely beyond its capabilities. This realization, coupled with a growing disillusionment with higher education, has caused UMCP to reevaluate and finally to reduce its role in the active search for solutions to social problems.

In the recent period of rapid growth of UMCP, the faculty was conditioned to think largely in terms of a heavy commitment to research and to scholarly output. This condition undoubtedly was partially due to the effort to upgrade the quality and reputation of the faculty. There was a strong orientation among faculty toward improving one's professional standing, often at the expense of quality of teaching. During the last five years, students have expressed strongly their desire for better teaching and their concern that programs should be characterized by high quality. The UMCP Administration feels there should be a deeper commitment to scholarship, which is composed of both teaching and research, especially in graduate programs. But the stated desire of the highest UMCP administrators for greater emphasis on improvement of teaching quality is in conflict with the beliefs of some Provosts of Divisions and some departmental tenure committees, who place greater significance on publication and research when granting promotion and tenure. Student expectations are high: a survey of 4,600 freshmen entering in the fall semester of 1973 revealed that for about 60 per cent of them, UMCP was the first choice of schools, and 28 per cent of them had decided to attend mainly because UMCP offered the kind of academic program they wanted.

In the last four years, UMCP has taken steps to be more responsive to changing expectations of its students and faculty. As a result of the Chancellor's *"Proposals on Academic Reorganization"*, it is easier for new programs to be developed. New B.A. degree programs have been introduced in Afro-American Studies, Urban Studies, Kinesiology, and Computer Science; programs in Women's Studies, East Asian Studies, and Jewish Studies have been proposed. UMCP has responded to the growing interest in the quality of life by introducing new courses stressing family, community, and consumer problems. Recognizing the demand for more independent study, UMCP is now offering a Bachelor of General Studies degree which allows students to obtain education in as broad a set of disciplines as are offered at UMCP, without requiring that students specify majors. Another proposed degree, the Bachelor of Independent Study, would make it possible for students to obtain degrees in subjects or programs of their own design for which no department currently offers a degree.

The response of the library system to these curricular changes has been sporadic. The Assistant Director of Libraries for Collections and his staff have attempted to purchase materials to meet the needs of some of the new programs, but few written guidelines have been provided them

for this purpose by the sponsors of these programs. Since no extra funds were provided to the library system to purchase collections for these new programs, book money has had to be taken from other library system departments. Of a more general nature, the professional librarians organization has assumed responsibility on its own for developing a program of instruction on library use for faculty and students.

Efforts are being made to align the Career Development Center of UMCP with academic programs in order to assist students who want to prepare for specific careers. As shifts in student interests are reflected by significant trends in registration, pressure is applied on departments to shift faculty positions from subjects where demand has fallen off to those where demand is on the rise. The UMCP Administration has resisted the pressure, even in times of economic slowdown, to stress technical departments to the detriment of the liberal arts program. Currently, there is a slight shift in enrollment at UMCP from liberal arts fields, such as English and history, to more occupationally-oriented fields, such as education, business, sociology and psychology. However, the Chancellor has stated that UMCP is not a *"trade"* school; that on the contrary, it supports education as an end in itself, and, therefore, must develop technical and liberal arts programs equally.

The Administration is striving to break out of the four-year lock-step approach; that is, it is moving toward a policy of basing the awarding of the bachelor's degree not on whether a student has spent four years in classes, but on whether the student has attained a required level of competence as confirmed by the faculty. With this goal in mind, a liberalized policy of credit by examination was recently inaugurated.

A factor which should seriously influence the development of future programs is society's new emphasis on life-long education. Increasingly, people will obtain their formal education in a sequence of shorter intervals, interspersed with periods in which they are engaged in wage earning or service to society. UMCP is responding to the growing demand for re-training and the development of new skills by expanding its program of continuing education. For many years, the graduate programs have been geared to some of this, but demands are increasing at the undergraduate level as well. Moreover, retraining of retired or unemployed people for second careers will become more prevalent. As part of an outreach program to bring education to workers on their jobs, the College of Engineering is currently developing a plan to provide companies with videotaped courses on new techniques by way of cable television.

There is increasing exploration of the possibilities of technology in the generation, transmission, and application of knowledge. The new Undergraduate Library has extensive facilities for the use of video tapes, cassettes, and other audio-visual materials. Because of the enthusiastic response of faculty and students, UMCP is planning ways to expand these facilities for self-paced study. At the same time, however, the use of closed circuit television in large lecture courses is being discontinued because of student objections to its impersonality. The use of educational TV in private homes and the production of video cassettes on educational topics to be made available to public libraries are ideas being explored currently at UMCP.

The major scholastic problems confronting UMCP over the next several years will focus on efforts to devise methods to improve the quality of education within a stagnant budget. Currently, there are some 150 majors available to undergraduates, and 65 graduate programs. It is expected that UMCP will remain a comprehensive university, with increasing emphasis upon upper division and graduate studies.

One very important problem is the high ratio of students to faculty. Currently the ratio is 15.9 to 1, if teaching assistants are included. However, UMCP uses an inordinate number of teaching assistants in comparison with other universities, and if they are not included in the faculty figures, the ratio becomes 23 to 1. As the UMCP Administration has conceded, this compares unfavorably with competing state colleges. Despite increased pressure on faculty to carry a heavier teaching load, the high average number of students per classroom cannot be expected to decrease.

VII. IMPLICATIONS FOR THE LIBRARY

The primary function of the UMCP library system is to serve as the central information source for those persons in the UMCP community involved in the tasks of research, teaching, and learning. The library system will be able to perform this function only to the extent to which the UMCP community expects and permits it to perform. The academic community, if it is to receive full value for its investment, must provide the library system with two basic ingredients: the resources necessary to obtain the desired information, and a clear, reasonable set of expectations. Resources include not only financial considerations, but also information; expectations imply guidance and planning obtained through consultation and cooperation. The UMCP community must understand that if any of these ingredients are missing from the library system-university relationship, both parties ultimately will be dissatisfied. Good library service for UMCP can only result from a partnership based on mutual respect and support.

UMCP has made a commitment to excellence and scholarship by implementing the *"Proposals on Academic Reorganization"*. The library system must determine the extent to which instruction and research will be realigned in order to respond quickly and effectively to the development of new programs. Two important elements of the *"Proposals on Academic Reorganization"* are flexibility and responsiveness. These must also be the goals of the library system. In collection development, organization, public service, and information retrieval the library system must develop the ability to anticipate changing perceptions of the organization of knowledge and to respond quickly and effectively. The library system must have a reliable mechanism for being appraised of new programs in time to develop supporting collections, services, and staff, if necessary. At present, the library system staff is generally not consulted by the faculty when they propose new programs. This situation seems due partly to a fear of those committed to obtaining approval for their programs that adding a realistic cost for library support would jeopardize that approval; but this fear seems also to be due to a basic lack of understanding of exactly how important library resources are to new programs.

Flexibility and responsiveness also require greater knowledge of the needs of those using the resources of the library system. A means for continuously evaluating user needs would seem to be vital for obtaining this knowledge.

The UMCP Administration has established higher priorities in the future for upper class and graduate student development. The library system may expect growing demands for more advanced and individual reference service, greater use of library system resources and more independent study projects. Programmed learning, in both mechanical and printed forms will be an important element in individual study as faculty are pressed to provide more effective teaching. Demand for video-taped lectures and other A-V materials will probably increase.

Expected restrictions on budgets suggest several policy changes within the library system. Since research projects will be more mission-oriented, current policies for collection growth will likely prove less than adequate. When special funding is provided for a project, the library system must be sure to secure its necessary share in order to meet the cost of any extra demands for its services and resources. Efforts must be increased to establish a more realistic basis for the calculation of funding for the library system. This will involve a continuous process of education of the faculty, Administration, Board of Regents, the Governor, and the state legislature. In order to present its case more effectively, the library system must strengthen its own bargaining position by means of a thorough functional analysis of its operations. A system will have to be developed to provide continuous cost-effective studies. Pressure for automation and information retrieval systems will have to be weighed in light of other library system needs. This will help to solve the problem of how to reduce costs while satisfying increased user demands.

As administrative techniques become more complex, user demands more difficult, and the body of knowledge more diverse, there will be a growing need for specialized skills among the staff. The library system has become more like a business and less like a family-type operation. Staff members with areas of specialization other than library work will need to be added. At the same time, both the professional and classified staff will require means for continuing education in order to refine and update their skills. The staff must be encouraged to improve their work performance, perhaps by means of study grants, in-service training, and professional leave. Participation by the library system staff in both library system and UMCP planning is important for the success of the library system. Within the library system, planning could be more effectively accomplished if not restricted primarily to a few heavily-burdened administrators. The perspective of the staff must be tapped to a greater extent in order to ascertain the effectiveness of priorities and operations. Since plans made by UMCP have direct implications for the library system, the library system staff must be included more effectively in consultations concerning both short-term and long-range plans for UMCP.

THE STUDY TEAM REPORT

ON

MISSION, OBJECTIVES AND GOALS

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MISSION, OBJECTIVES AND GOALS

INTRODUCTION

The intent of this report is to relate the mission, objectives, and goals of the library system to those of the UMCP, to describe the present use of objectives and goals within the library system, and to make recommendations regarding a more effective process of formulation and usage of objectives and goals within the organization.

The formulation and use of written objectives in research libraries has not been a common practice according to reports from the Association of Research Libraries. MRAP, therefore, provides for purposes of discussion a hierarchy of values and definitions for the following terms:

mission: the basic purpose of the organization; the primary reason for its existence, *e.g.*, LIBRARY MISSION: to provide information services required to meet the needs of the educational, research, and service programs of a university

objectives: statements of long-range, broad intent which represent the component means to achieve the mission, *e.g.*, LIBRARY OBJECTIVE: to provide assistance to users in effectively utilizing library resources and services

performance goals: the breakdown of objectives into shorter-range, more specific, frequently quantifiable, desired achievements, *e.g.*, PERFORMANCE GOAL: conduct a survey of the use patterns of reference rooms.

I. UMCP MISSION, OBJECTIVES AND GOALS

During the past two years, the Campus has engaged in a study of academic reorganization. A major element of the effort was a definition of institutional purpose, as stated in the Plan of Academic Reorganization.

> *"There is no unique optimal organization for an institution. This is especially so for a complex, pluralistic institution such as the University of Maryland. As conditions in the society around it change, the University also must change. It must build upon the past, respond to the present and anticipate and prepare to move into the future . . .*
>
> *"Undergraduate education must become less rigid in form and in time requirements. Work-study programs, interdisciplinary and multidisciplinary programs, and two- and three-year accelerated degree programs must become more prominent on the campus.*
>
> *"Graduate education must become more encompassing, giving more recognition to teaching and public service in programs of graduate study. In the future, research and creative scholarly activity will occur in a less sheltered climate. The increasing emphasis upon relevance will have profound effects.*

"Public service is an important traditional function of the College Park Campus. We must expect continued pressures to study major public problems such as those pertaining to urban and environmental matters.

"There is but one reasonable posture for a state university to these changes: responsiveness. The Univereity must continue to serve its basic function in higher education while accommodating, indeed generating, new social and technological developments. These considerations emphasize that flexibility is a key requisite for any organization plan.

"Still another key feature of any acceptable plan is collegiality. The University must foster the spirit of community and interactions on the human scale that pervade effective social organizations . . ."

The above quotation, plus information generated through numerous interviews and discussions, provided the basis for the following statement of institutional goals (G) and objectives (O). (The reader will note that there is a significant shift in definition here from the MRAP definition. Goals are defined as long-range aspirations toward which the Campus should direct its efforts. Objectives are defined as the means which will be employed to reach the goals.)

"G. *Less rigid undergraduate education in terms of form and time requirements.*

O. *Increase work-study, practicuam, interdisciplinary and multidisciplinary, and two- and three-year accelerated degree programs.*

G. *More encompassing graduate education giving more recognition to teaching and public service.*

O. *Reduce the sheltered climate in which creative and scholarly activity will occur.*

O. *Respond to public problems such as urban and environmental matters.*

G. *Improved accessibility to education.*

O. *Recognize the need for part-time and continuing education.*

G. *A strong and dynamic University in the future.*

O. *Increase responsiveness and flexibility.*

O. *Accommodate and generate new social and technological developments.*

O. *Foster the spirit of collegiality and community.*

O. Provide for human-scale interactions.

O. Strengthen faculty expertise."

II. LIBRARY SYSTEM OBJECTIVES AND GOALS

A. Development

The most comprehensive statement of library system objectives was first formulated by the Director of Libraries in 1953 in response to a request from the University Library Committee, which was a group appointed by the University President. (This group predated the Senate's Committee on Libraries and, indeed, the Faculty Senate itself.) This original statement was approved by the Committee, but it was neither presented to, nor adopted by, the University as a part of the University policy code.

Since the University and the library system were much small at that time (an important factor in any consideration of the goal-setting process at the University of Maryland), the original statement of objectives was promulgated to most of the library system staff and seemed to adequately reflect the duties and span of control of the library system and its Director at that time.

The current statement (slightly revised from the 1953 statement) of library system objectives is found in the University of Maryland College Park Long Range Plans, 1971. In this document the library system objectives are said to be:

"1. To assist in carrying out the instructional program of the University.

2. To fulfill the requirements for library materials and services of graduate students, faculty members, and researchers.

3. To secure, organize, and service books, periodicals, documents, micro-reproductions, films, phonograph records, and other library materials used in instruction and research.

4. To provide physical facilities and equipment that will allow for the efficient and effective use of library materials.

5. To instruct students and faculty formally and informally in the effective use of the library and all its resources.

6. To encourage students to develop the habit of self-education in order that books and libraries may contribute to their intellectual development in future years.

7. To encourage extra-curricular use of library materials.

8. To make library resources available to residents of the State

through the Maryland State Network, and to cooperate in every way possible with other libraries in the community, in the region, and elsewhere."

Significant but little known extensions of this statement of objectives are found in the Five Year Plan of Library Automation, the library system's Equal Employment and Education Opportunity Program, library system budget requests, and in building programs for the new library system facilities built on the College Park Campus (*e.g.*, the Undergraduate Library and the McKeldin Library expansion and remodeling programs. The latter is also included in a separate faculty program for the Instructional Resources Center, McKeldin Library Addition).

While the library system objectives as stated are set so that, in general, library programs and activities are guided toward the achievement of UMCP purposes, cooperation between the University Administration and the library system administration on goal setting has, regrettably, been only implicit. Ratification or critique of library system objectives and programs has neither been sought nor proffered, except insofar as funding levels imply approval.

The Senate's Adjunct Committee on Libraries and Instructional Aids and its parent group, the Senate's Committee on Educational Affairs, are important points of contact between the library system administration, the library system staff, and the Senate. Membership on the former group has, in the past, included the Director of Libraries (*ex officio*) and one appointed (out of a group of volunteers) associate staff member. It is from this group that some significant comments on and recommendations for library programs have come (*e.g.*, the "Report on the Status of Stack Space in McKeldin Library", 2/20/74).

However, a number of recent significant University administrative or organizational changes have taken place which have an effect on the library system's objectives and which occured without adequate prior consultation with the library system staff or the Director. Two examples illustrate this. When the Baltimore Campus of the University was set up as a distinct administrative entity, this established a separate library system on the College Park Campus. The collection development and fiscal ramifications of this move were monumental and essentially a shock to the library system administration. In addition, the most recent academic reorganization proposal included twelve propositions aimed at changing campus structure and function. Most significant for the library system are Propositions I (reorganization of colleges and schools into five divisions) and II through VIII (changes in curricular matters). Implications for library programs which are inherent in any such massive overhaul were not reviewed by the library system management prior to the passage of the Proposal.

B. Analysis

The library system lacks a formally defined mission and goals related to its "Statement of Objectives". This "Statement of Objectives"

is, as it should be, one of broad, long-range intent, and there seems to be on the surface no incompatibility between stated UMCP goals and the objectives of the library system. One area of basic disagreement reappears consistently in regard to the University of Maryland, College Park and its place among research libraries in the metropolitan area. University spokesmen see these other libraries as supporting the research programs at College Park, while the library system feels the necessity to seek funding and to devote its energies toward building a reputable and even distinguished research library system for UMCP. The lack of agreement as to what constitutes an adequate Campus research facility is one of the major sources of friction between the two administrations.

The section of this MRAP Report entitled *"The Study Team Report on the Library System in its Institutional Setting"* details explicit statements of the library system implications of UMCP purposes, *i.e.*,

> the library system as the central information source for the UMCP community
>
> the need for the library system to adapt to and to serve the changing perceptions of the organization of knowledge
>
> increasing demand for staff development due to the increasing complexity of administrative technique, difficult user demands, and a more diverse body of knowledge
>
> participation of the library system staff in planning both within the library system and within the UMCP community.

It should be noted, however, that the obligations placed on the library system by the UMCP do not encompass the entire range of the system's responsibilities. There is, for example, the responsibility of the system to cooperate and to share professionally its expertise and that of its staff with other libraries in the area, as well as nationally. (Library Objective no. 8)

While there are some notable ommissions in the library system's formal objectives statement, *viz.*, no mention of the need for coordination of service efforts and no provision for planning, most of the frequently remarked upon ommissions are stated in secondary documents. The system's commitment to computer technology is clearly spelled out in the system's *Five Year Plan of Library Automation* the substantial commitment to undergraduate library service is stated in the building program for the Undergraduate Library, and specific mention of staff development as an objective for the library system is included in the Equal Education and Employment Opportunity plan for the system.

Notably lacking in the statement, however, is a tone of positive action and a setting of specific objectives with timetables for accomplishment. Most staff surveyed remarked on the passivity of the language and the apparent unlimited life span for the accomplishment of

the objectives. They were hopeful that, in fact, UMCP expectations for the library system were greater than this statement indicates.

C. Application

Through use of existing documentation (unit annual reports and budget requests) and through personal interviews, an attempt was made to discover the current application of library system objectives and their effect on library system operations. Those interviewed were questioned on the use of written or unwritten unit objectives and their relationship to the system's stated objectives.

For a number of units, written objectives do exist in budget requests and annual reports, but these indicate separate unit priorities rather than on-going commitments. While none of these unit objectives, as they are stated, appear to be in contradiction to the system's statement of objectives, many are simply performance goals and do not refer to any overall library system objectives. In addition, some staff members perceive that a unit could operate with unwritten objectives in response to pressures antithetical to overall library system objectives for some time before the situation was clear. The Director also has expressed considerable difficulty in evaluating the performance goals set by the departments more or less independently when these are not related to anything recognizable by the entire library system. Since unit performance evaluation is done in conjunction with the budgeting process, the fiscal implications of this quandary could be very serious.

The existence of these separate unit objectives, formulated without direct reference to, but in accord with, the UMCP library system statement of objectives, presents the impression that much of the current work of units and of the total system is proceeding in an intuitive fashion. This situation is understandable when it is realized that the existing statement of objectives was developed twenty years ago when the staff was small, and that many of those managers responsible for existing unit objectives were promoted to their present positions in an environment where the objectives were operative but not stated. In view of the growth of the system and the staff, a major need is for the UMCP library system to examine its mission, its objectives and its goals in reference to the role of the library system in the UMCP program.

III. RECOMMENDATIONS

The Study Team recommends:

1. that a commitment be made by the library system's directors to a program of defining the system's mission and continuing a viable network of system objectives and goals

2. that an *ad hoc* committee representative of all library system divisions be appointed by the Director to examine and revise existing statements of library system objectives and establish priorities to reflect the current UMCP and library system

environment, and to provide assistance and evaluation for the total library system program

3. that a statement of the library system's mission and a new statement of library system objectives be prepared and be submitted to the staff for discussion and ratification

4. that, following staff and administrative discussion, the Director seek UMCP endorsement by submitting these library system objectives to the College Park Senate for approval

5. that each library system division appoint a committee representative of all reporting units and all ranks in the division to be charged with establishing a hierarchy of unit missions, objectives, and performance goals

6. that every three years an *ad hoc* committee be appointed by the Director to review and evaluate the network of library system goals and objectives operative at that time

7. that this process (nos. 1, 2, 3) be considered primary in the first implementation stages of MRAP, and that the process take no longer than three months.

REPORT OF THE TASK FORCE ON PLANNING

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For the purpose of this report, "planning" is defined as the formal process of setting objectives, determining courses of action to achieve objectives, allocating resources, and evaluating progress toward objectives. Although certain specific plans have been studied, the main attention in the investigation for this chapter has been on the planning process itself. Approximately twenty interviews with individuals in the library system and the University have contributed to the analysis presented here. Documents of past and present planning have been studied, and reports and research from other universities and the literature on academic and corporate planning have been utilized.

I. DESCRIPTION OF PRESENT PLANNING

A. University Planning and the Library System

1. The Current Planning Process: the Agencies

Within recent years, UMCP has felt the need for better planning advice, and has taken two major steps to meet this need. First, to provide guidance on the physical layout of the campus, it has hired the firm of Richardson, Severns, Scheeler, Greene, and Associates, of Champaign, Illinois, to serve as consultants in preparing a Master Plan. This firm uses specialized planning skills in working with the University, principally with the Office of Academic Planning and Policy. The Master Planner is to consult all departments on campus which will be directly affected by plans for the physical development of the campus, to identify weak areas in the University's development program, and to recommend ways to strengthen it. For example, since UMCP sees a need to develop facilities for performing arts and educational technology, provisions have been made for them in the Master Plan. Second, to provide guidance on the organizational structure, UMCP has adopted the Proposals on Academic Reorganization (based on a detailed study by a faculty-student-administration committee) as its basic academic plan. One of the proposals is to decentralize the academic structure, while centralizing services (organizationally, not geographically).

Aside from these two special projects, library system input into University planning goes through the Office of the Vice-Chancellor for Academic Affiars. The Vice-Chancellor, to whom the Director of Libraries reports, is the primary direct, official contact the library system has with the University Administration. The Director of Libraries has no official relationship with the Vice-Chancellor for Academic Planning and Policy. Since all the Vice-Chancellors report to the Chancellor, the library system's needs and plans reach the Chancellor (and subsequently the President) primarily by way of the Vice-Chancellor for Academic Affairs.

The College Park Senate is the largest campus forum, and is composed of representatives from the faculty, students, administration and staff. It serves as advisor to the University Administration on a variety of topics. The professional librarians elect one voting representative to the Senate. The Director of Libraries is an *ex officio* member of the Senate. He also serves as *ex officio* member of the Senate's Adjunct Committee on Libraries and Instructional Aids. In addition, the Committee since September 1973 has included one member from the library staff appointed by the Senate's Executive Committee. This second member is currently one of the library system's top administrators.

On behalf of the library system, the Senate's Adjunct Committee on Libraries and Instructional Aids has undertaken several projects, not all of which have been fully utilized. In 1970, it sponsored a survey of library users. A report written by the Chairman of the Committee was sent to the library system administration and departmental library representatives, but the results were not disseminated to the library system staff. Nor was the staff allowed access to the results in such a way that they could improve their work performance. However, the Director and Associate Director of Libraries have used the results for library system planning.

This Committee is not always up-to-date on library system needs. The current chairman was surprised to learn recently that the McKeldin Library felt in desperate need of more space, despite the fact that this need has been apparent to the staff for some time. When the Committee determines some recommendation it wants to make, it sends it to the Senate by way of its parent committee, the General Committee on Educational Affairs. This latter committee in turn passes it to the Senate's Executive Committee which then takes it to the full Senate. Since the Senate is only an advisory body, no decision or action by it is binding on the University Administration. However, on matters concerning the library system received from the Senate, the Chancellor could consult the Vice-Chancellor for Academic Affairs. If the matter is of such a nature that more University involvement is necessary, the Chancellor could proceed to the President and, if necessary, to the Board of Regents. Whatever the decision, it would go back through the same channels to the Director of Libraries.

2. The Current Planning Process: the Documents

The reports of the Academic Reorganization Committee and the Master Planner are available to the staff and general public in the Maryland Room. The Vice-Chancellor for Academic Planning and Policy states that all department heads, including the Director of Libraries, are routinely sent copies of documents and kept notified of all planning decisions. Although they are expected to respond, according to him, they frequently do not.

3. The Current Planning Process: Communications and Attitudes

Despite the work of the Master Planner, some faculty members feel that no one in the University Administration is taking the responsibility for planning. Since buildings take the longest lead time of any planning item (from the proposal to the legislature for planning funds to the completion of the finished building some five or six years later) and academic planning (as contrasted with physical planning) is not always in evidence, some faculty feel they are left out and uninformed. All too often, they feel that planning is done solely on a financial basis. Administration decisions to build up a department or to absorb faculty cuts sometimes seem arbitrary and unplanned and are resented by some faculty. Such changes are not usually made known to the library system although they directly affect the system's planning, collection, and operation.

Development of the library system now has a comparatively low priority among University-wide program proposals. According to the Office of Academic

Affairs and the Chairman of the Senate's Adjunct Committee on Libraries and Instructional Aids the library system is ranked nine out of ten in such program development priorities. In terms of priority for building construction, a proposed addition to the McKeldin Library ranks even lower.

The Vice-Chancellor for Academic Planning and Policy, aware of what the Master Planner is doing and can do to improve UMCP, nevertheless states that planning on this campus is 80 per cent responsive and only 20 per cent innovative. This he considers bad planning practice, but he places the blame on departments or their representatives to the administration (including the library system administration), who, he says, do not produce innovative planning on their own, but who instead stress their needs only after such needs have created crises in operation.

B. Present Planning in the Library

1. The Current Planning Process: the Agencies

The movement of plans within the library system tends to follow the departmental organization, from departments to Assistant Directors to the Director of Libraries. All major decisions are made at the level of the Director and Associate Director, and the preparation of major plans (such as those for buildings or long-range plans requested by the University) is reserved to this top management. There is no planning officer to coordinate plans, and the Director and Associate Director themselves normally perform this function. Each department is required annually to submit a budget request which embodies the plans for two fiscal years hence, and an annual report which summarizes objectives and achievements of the previous fiscal year. General staff participation in planning depends on the encouragement of the department heads, but, in addition, there are a number of general forums for the staff in which, potentially, at least, planning may take place. The Library Cabinet serves as the closest circle of advisors to the Director, but little systematic planning is done at this level. The Library Council, which consists of the Cabinet and also heads of departments and two elected representatives, also is more of a channel of communication from the Director down than a forum of discussion. In both the Cabinet and Council, important planning proposals are seldom on the agenda, and plans drafted by the Director and Associate Director are usually kept private.

The most active planning process that cuts across departmental boundaries may be found in the committees of the library system and of the Library Assembly, the professional staff organization. The Director has appointed several committees to develop goals, plans, and policies, such as the Circulation Coordinating Committee, the Committee to Formulate Book Selection and Collection Development Policies, and the Advisory Committee on Library Automation. In addition, the Library Assembly has established committees which lay the groundwork for planning new changes and new programs: Conditions of Employment Committee, Professional Development Committee, Orientation Committee, Library Development Committee, and the Ad Hoc Committee on User Guidance. Each of these committees is generally concerned with a few specific issues of current importance, although these issues may have long-range implications. It is noteworthy that nothing came of an initiative to set up a "Dream Committee" to foster blue-sky innovations by the staff. This committee was suggested after the talk to the librarians by Chancellor Bishop on November 19, 1971, and a questionnaire to all librarians revealed interest in developing new modes for staff participation in planning, but no new modes were developed by the librarians.

The Staff Alliance, composed of all dues-paying staff members, has historically been primarily a social organization, but in recent years it has played a larger role in acquainting the staff with the planning process. At the meeting of November 19, 1971, the Director and Assistant Directors reported on how they saw the future of the library system. At the meeting of March 15, 1973, the Director answered a list of previously submitted questions, some of which dealt with the library system's plans.

At present, there are a number of obstacles to greater staff participation in planning. There is no formal feedback to departments and sections concerning budget requests or reports and proposals sent up the chain of command. There is almost no training of staff in the techniques of planning methodology. Many present library system plans are not made known, or at least have very restricted access, and the lack of documentation of general planning prevents others from relating their work to the larger picture.

2. The Current Planning Process: the Documents

The basic planning documents are the annual reports and the budget requests. However, planning is not the primary function of these documents. The most systematic documentation of any department is that done by Data Processing in its five-year plan. Although cost-benefit studies have not been made in the past, they are planned for the future. The planning of automation assumes the goal of several inter-connected on-line systems.

The planning of a new library building produces extensive documentation. In the case of the recently opened Undergraduate Library, the basic decisions about size, modes of service, etc., were embodied primarily in the building program. The general plan for the collection was documented in "A Selection Philosophy for the Undergraduate Library Collection," (October 4, 1968), by the Assistant Director for Reader Services. The ratio of volumes for each subject area was determined by consulting Books for College Libraries, and by obtaining suggestions from faculty and library system staff. Unfortunately, the detailed plans for the opening-day UGL collection were abandoned after approximately 35,000 volumes had been accumulated when it became clear the goal of 100,000 volumes in the opening-day collection would not be reached. A plan to make up the balance of 65,000 volumes by withdrawing multiple copies of titles from the McKeldin Library and by purchasing large collections was substituted for the original plan.

The Director and Associate Director prepared (October 1971) a program for the proposed addition to and modification of the McKeldin Library, with input having been received from the staff. Those contributing, including those directly affected, have not seen the draft of the building program and have not been kept abreast of the current status of the project.

Another basic area of planning for a library system is the development of the collection. Much of the 1965 "Sparks Committee" report (Report of the Committee for a Study of Library Needs) was devoted to building the collection. One result was the new position Assistant Director for Collections. However, since 1965, there has been neither clarification of staff responsibility for collection development nor a formal selection

policy (although a collection development committee was formed in the fall of 1973 to recommend policies). As a result, the library system has no general plan or projection now, and other secondary plans must merely assume continuous, uncoordinated growth. [The major written plans for the library system, or involving the library system, are indicated in the "Sources Consulted By This Task Force" by asterisks]

3. The Current Planning Process: Communications and Attitudes

The results of the Needs Assessment Survey, a questionnaire sent to heads of departments and higher level staff, show much staff interest in changes in the library system related to the planning process. The points to be presented at this point are representative of concerns of the staff, but they do not necessarily stand for the thoughts of any given proportion of library system management. These points serve to highlight areas where change is desired, and thus reflect both current attitudes and, indirectly, the current organizational climate.

Greater discussion of objectives is desired. This would have a direct impact on the basis of the planning process. Related to this is the interest in more participatory management. This would mean more staff input in the planning process and taking advantage of staff enthusiasm and willingness to try new projects and innovations. Need for greater confidence in the library system administration is indicated, with a focus on both the administration's relation to the staff and to the University Administration. Leadership in general is called for, and this has the implication of the need for leadership in planning. For planning, especially the budgeting aspects, management information systems are needed, it is suggested. Areas requiring co-ordination are noted: the branches and other parts of the library system, and the development of the collection. The Library Assembly is taking a larger role, and MRAP itself is a sign of willingness to change and confront the need for planning.

Interviews with staff reveal that many feel modes of communication must be improved in the library system. Several cited instances of information and proposals intended for the Director being blocked along the lines, without explanation, by heads of departments and/or members of the Cabinet. Many feel poorly informed and feel they do not receive feedback on reports and proposals they submit. Many feel the need for greater communication with the faculty and the University Administration, as well as more systematic study of user needs. It is realized that the image of the library system on campus is not the best, and that this inhibits communication with the campus community.

II. ANALYSIS AND EVALUATION OF THE PLANNING PROCESS

A. University Planning and the Library System

Planning on the campus has been changed from an informal affair conducted somewhat without order and has been put into the hands of a Vice-Chancellor and a professional planning firm. Certainly, on a campus this size, this is necessary. If bona fide goals and objectives of UMCP are developed and used, personality conflicts diminished, and open communication established, planning should be vastly improved and with it there should

be a corresponding improvement in morale. There may be some doubt whether the Master Planner of the Office of Academic Affairs sufficiently consults or keeps informed the administration of the library system. If such is not the case, the burden falls to the library system administration and particularly to the Director to initiate action that will put the library system's planning needs in the forefront, and educate the Vice-Chancellor for Academic Affairs not only on library system planning, but also on the effect University planning has on the system and its ability to serve the needs of the academic community. A major roadblock in planning for the UMCP library system is the attitude of several of the University administrators toward the relationship of the library system to other research collections in the vicinity. They appear to be under the misconception that these collections should serve the UMCP faculty and students and that, therefore, less is needed for library support at UMCP. This belief has been perpetuated by many faculty members who cite the proximity of these collections when justifying new program proposals, and by the failure of the library system administration to reveal this fallacy in strong enough terms. The library system, University administration, and academic departments have not given sufficient attention to the question of whether these collections are actually available to UMCP faculty and students within limits of service policies, hours of operation, travel time and money, and parking.

Contact with academic departments and individual faculty members by the library system staff is intermittent because the library system has no specific plan for such contact, other than through the departmental library representatives. This situation tends to encourage library representatives to utilize their position to strengthen the collection in their own areas of interest. The result is a trend toward an unbalanced collection.

The Senate's Adjunct Committee on Libraries and Instructional Aids does not always agree with what the University Administration or library system administration does, but its function, like that of the Senate, is purely advisory. With the exception of the *ex officio* members (the Directors of Libraries and the Computer Science Center), the chairmanship and membership of the Committee rotate periodically. As a result, continuity of activities is not sustained and some of its work loses its effect. A good example is the "Sparks Committee" report on library system development issued in 1965. By 1971, a need to update it was perceived and begun, but as shifts in chairmanship and committee membership occurred, interest also shifted. The result was that the "Sparks Committee" report was never updated and, according to the Director of Libraries, is today of little use to the library system for planning purposes.

B. Present Planning in the Library

The present planning process probably has the characteristics it does because of the main impulses for change which have produced the plans. These impulses have their corresponding planning systems. The primary one is the growth of the collection. This leads to the need to plan for more space (buildings) and staff to process the materials. The second strong dynamic movement is increased automation. Automation by its very nature requires planning of equipment and programs. The third impulse is the normal

efforts in all departments to improve efficiency and to increase in size and scope of activity. The departmental planning is reflected in the annual budget requests. Each of these dynamic processes acts only within the constraint of the limited budget, so planning is often incremental rather than based on full-scale reviews and objectives. In this situation, it is not surprising that there is a lack of formal planning documents which cover the whole range of the library system objectives and lack of wide participation in a more formal planning process. The planning process cannot be more sophisticated than the statement of objectives, the knowledge of needs of the educational program, the results of present policies, and the level of staff participation. The strengths of the present process tend to lie in the skills of those individuals who have developed plans for new buildings, automation services, and departmental projects over the years. The weaknesses tend to lie in the lack of coordinated and systematic anticipation of trends and programs and in the blocking of the transmittal of information upward to the Director. The weaknesses are obstacles to a more controlled growth in all areas and to major advances in quality as well as quantity of library materials and activity.

The strengths of the present process lie more in the skills of staff members than in the established procedures, although a number of committees are now functioning which offer hope for solid achievement. The expertise of the Associate Director in planning for space needs is an important asset, as well as the valuable work being done by the Data Processing Department. Many librarians on committees of the library system and of the Library Assembly are mobilizing their skills for planning purposes. The branch libraries appear to be more flexible in innovations and developing plans for new programs, and they are having an impact on the whole system. To the extent that reflection goes into the annual budget requests and annual reports, this work provides a solid basis for a more comprehensive planning process. The greatest asset for improving the planning process now is MRAP itself, both in the actual work of the task forces and in the effect of this analytical experience on those involved. This analysis naturally should lead into planning.

The weaknesses of the present process reflect general deficiencies in the organizational administration and communications of the library system. A number of these deficiences are highlighted in the focus of planning, because effective planning presumes a high level of coordination and flow of information. The most important weaknesses are these:

1. the lack of well-defined goals for the system encourages over-emphasis on short-term projects and under-emphasis on long-range strategic planning

2. the lack of statistics which measure quality of service as well as work loads inhibits reform of present programs

3. a responsibility for planning is not made a clear responsibility of top and middle management, and inadequate job descriptions make precise coordination difficult

4. basic questions of centralization/decentralization of library

resources are not confronted, so the position and role of libraries other than the McKeldin Library remain problematic

5. a number of factors inhibit more staff involvement in planning: general lack of participatory management, lack of feedback to middle management about reports and proposals, lack of encouragement of initiatives by the Director of Libraries, lack of formal procedure for submitting planning proposals, and the use of standing and *ad hoc* committees without a general coordination of their activities

6. little documentation of past planning

7. time for planning is given a low priority in routine situations

8. a practical forum for the discussion of major planning questions by the staff has not been developed, although the Library Assembly is moving in this direction

9. the Library Cabinet and the Library Council, which would appear to be candidates for important roles as planning councils, reflect within each group a reportedly high level of mutual distrust and a preoccupation with less important matters; these constitute deterrents to effective planning

10. in planning, the Associate Director is accountable only to the Director of Libraries but, through his influence on and close proximity to the Director, he has the power to make final decisions without having to bear the responsibility for those decisions

11. although the position of Assistant Director for Collections was originally established to coordinate systematic development of the UMCP collections, and although this role is still in the job description, the Assistant Director for Collections has never played an effective role in collection development, and, in fact, there is as yet no coordination of collection development. The Assistant Director's actual responsibilities are to supervise special collections, to search for needed items, and to negotiate the acquisition of appropriate collections as they become available.

III. RECOMMENDATIONS

A. Recommendations for University Planning and the Library System

1. The University should make known its objectives and goals, to be studied and used as guides by the library system in formulating its own goals. Library system goals are meaningless if not formulated within the framework of the University's objectives and goals. All other recommendations seek to accomplish this correlation, but the primary action must be the University's informing the library system of its objectives.

2. The library system should be made part of the councils and committees in which University policies directly affecting the library system are made, and it should agressively seek such involvement. To facilitate this objective, the University should consider the following steps:

   a. appointment of the Director of Libraries to the Chancellor's Council of Provosts and Deans

   b. the Chairman of each of the five academic divisions should establish a permanent voting position for a library system representative on his division's Program, Curricula and Courses Committee (PCC Committee). This has already been done in the Division of Mathematics, Physical Sciences, and Engineering. The representative should be a reference or administrative librarian with capabilities in the divisional subject area, responsible for reporting information relative to the library system obtained in the PCC Committee to the Planning Council (see B.2, below) and for taking information to the PCC Committee

   c. representatives from the library system should be appointed to membership on the Graduate Council

   d. the University should seriously consider one of the recommendations of the Academic Reorganization Committee, *viz.*, establish a Vice-Chancellor for Academic Resources for the purpose of coordinating learning resources and to provide a greater role for the library system in University planning.

3. The College Park Senate Executive Committee should maintain a permanent library system position on its PCC Committee. The library system's member would keep the Planning Council informed of possible increased demands on the libraries' collection and staff, and serve as a voice to the faculty on the implications for the library system of new program proposals.

4. Establish a permanent library system position on the Adjunct Committee on Physical Development of the University. Since building plans have a long lead time, this Committee can alert the library system to trends in construction. At the same time, the library system representative would make known the physical needs of the library system.

5. Establish a permanent library system position on the Adjunct Committee on Instruction in order to coordinate efforts by the library system and faculty to secure in the students the acquisition of library skills, to make the faculty more aware of relevant library system resources, to make the library system staff aware of specific instructional needs, and to promote cooperation in educational technology.

6. The Senate's PCC Committee should be urged to withhold approval of

any new undergraduate or graduate program until consultation with the library system's Planning Council indicates the library system has the ability to meet the new demands in both collection and staff, or that funds will be forthcoming to the system to increase collection and staff sufficiently to meet the new demands. The library system should aggressively oppose, through its representatives at all levels of the University, new academic programs not meeting these requirements.

7. The Senate's Adjunct Committee on Libraries and Instructional Aids should assist in providing or indicating University-generated information needed by the library system to formulate policies for system development and operation. This represents an expansion of the function of the Committee.

8. Contact between library system staff and academic departments should be strengthened:

   a. the role of library representatives should be reevaluated, with consideration given to the possibility of removing the ordering function and redefining their roles as liaisons between library system staff and academic departments

   b. specific librarians should be required to establish and maintain contact on a regular basis with faculty and with academic departments for the purpose of gathering information on such areas as collection development, library system policy, and reader services, and to report this information to the appropriate library system committee or unit having responsibility for planning in those areas.

B. Recommendations to the Libraries

Planning is a continuous process, and participation in the planning may in itself produce better operations and programs by the staff. Because plans are always subject to revision, any written document is not itself the primary result of the process, but rather the clarification of objectives, decisions, and controls that accompany the formulation of both strategic and tactical plans. It has been stated that there are five key dimensions in the planning process: characteristics of plans, elements of plans, time dimension, organizational unit for which plans are made, and the subject of plans. The subjects of library plans are as many as the principle functions and instruments of the system, but this Task Force has found that the following areas of library activity need increased planning attention: public service (especially orientation and instruction in the use of libraries), personnel planning (including minority personnel planning), coordination of collection development, roles of branches in relation to the library system, possible areas of reclassification and other improvements of bibliographic access, automation in relation to public services, and role of librarians as educators on campus. The Planning Council recommended below should consider these topics for its agenda.

1. establish the administrative position of Budget-Planning Officer (BPO),

including sufficient support staff. The person filling this position should have experience and training in budget formulation and planning. Some knowledge of libraries would be desirable but not required. This person should not be a member of the top library system administration. The functions of the BPO are:

a. to provide guidelines for budget requests and planning proposals

b. to coordinate the preparation of budget requests and planning proposals, including the development of the library system's master plan

c. to serve as a channel of communication between the top administrative levels and individuals and units concerning the progress of the planning program

d. to advise units and individuals preparing plans on technicalities of planning

e. to establish planning schedules

f. to be responsible for coordinating plans for construction and remodeling of physical facilities, but not the day-to-day operation and maintenance of library system facilities

g. to represent the Director of Libraries in the University planning program, for both physical development and organizational planning programs

h. to coordinate with the Planning Council the preparation of applications for grants from sources other than the state budgetary allocation, including federal, private and foundation sources

i. to identify information requirements

j. to collect and maintain data necessary to support the decision-making process, including statistical projections and analyses

k. to make this information available in usable form to all persons at all levels of the planning and decision-making processes

2. establish an advisory Planning Council to assist the top library system administration and Budget-Planning Officer, and coordinate planning efforts. Membership should include the Budget-Planning Officer, *ex officio*, representatives of the staff organizations and representatives of the various staff levels, including classified. The Planning Council's functions are to:

a. receive in writing and integrate plans from library system units, the BPO, staff organizations, and individuals into an overall library system plan

b. formulate recommendations on the library system's programs and overall courses of action, and review the entire planning program

c. review and update the goals, objectives, policies and long-range strategic plans of the library system

d. with help from the BPO, prepare appropriate documentation in support of its suggestions

e. evaluate effectiveness of current library system practices, noting capabilities and deficiencies, and assess requirements for change

f. establish such standing and *ad hoc* committees as become necessary to study specific areas of library system plans

g. provide an effective system of feedback of information on and response to plans and budgets to those units and individuals submitting them

h. submit plans to the Administrative Planning Cabinet for approval, rejection, or modification

i. receive, from the library system members of the various PCC Committees, written reports on the development of new academic programs which will affect the library system

j. keep itself well-informed on the University's short- and long-range plans, and revise library system plans in the light of such plans

k. make every effort to keep its operation open and the staff well-informed concerning its operations.

3. establish an Administrative Planning Cabinet. Membership of the Administrative Planning Cabinet (APC) shall consist of the top administrative body of the library system, the Budget-Planning Officer, and the Chairperson of the Planning Council. The APC's functions are to:

   a. approve, reject, or modify plans submitted by the Planning Council, such actions to be reported in writing back to the Planning Council

   b. upon the recommendations of the Planning Council, determine priorities of implementation, and notify the Planning Council in writing

   c. monitor the efforts of the BPO in implementing the plans in line with long-range plans.

4. establish a formal planning process. Although certain specific recommendations are presented here for the structure of the planning process, it is more important that the general requirements and characteristics listed below are a part of the planning process, than that particular offices or committees are included. The planning process should include:

a. clarification and definition of the library system's mission (communicated to all levels)

b. from this mission should be derived a clear statement at each level of management of units' objectives

c. select priorities by which the Planning Council and Budget-Planning Officer can select targets, set standards of performance and accomplishment (*i.e.*, define minimum acceptable results); set time-frames; make someone accountable for results

d. development of refined measurements of performance so that the consequences of planning can be evaluated

e. preparation of a method of feedback of information on the status of objectives and plans so that obsolete objectives and activities which are resulting in unsatisfactory performance can be changed at the appropriate level of management, *i.e.*, build a method of self-control into the system

f. perhaps most importantly, development of a mechanism for stopping such activities which result in unsatisfactory performance and/or wasted money and energy.

5. technical methods which might be useful for the planning provess should be considered for adoption. Such methods include:

   a. specific planning methodologies (such as PERT: Program Evaluation and Review Technique) adopted by the library system, with unit supervisors given instruction in them and expected to use them in drafting and proposing plans

   b. standardized forms for the submission of plans to higher levels of management and to planning review boards or committees

   c. use of explanatory models of the library system in order to understand the present situation

   d. construction of models which show how the library needs of academic programs are related to acquisition of library materials and the provision of library service

   e. design of idealized forms of the library system to generate thinking

   f. use of experts and consultants whenever appropriate.

6. staff participation in the planning process should be increased both quantitatively and qualitatively not only to benefit the planning process, but also to help provide motivation. The following ways of improving staff motivation are suggested:

   a. each unit supervisor should be given responsibility and authority

for unit planning, with time allocated for planning

b. planning documents should be made accessible to the staff

c. staff participation generated by MRAP should be maintained by the implementation program and by full reports on the progress of implementation

d. the general climate of organizational communication should be improved so that staff members are willing and eager to make suggestions, draft proposals and react to information received about plans

e. all those submitting reports, budgets, plans, etc. should receive prompt and frequent response to their work

f. formal procedures should be established in each unit for acquiring input from all staff members in the planning process directed by the unit supervisor

g. some means of securing staff opinion in an anonymous fashion should be developed, although in an improved climate of trust such measures should not be needed

h. the staff should be kept informed of all major topics currently under investigation and discussion so that timely input can take place (frustration can ensue when important decisions that incorporate long-range future commitments are merely announced without warning)

i. training in planning and communication skills should be an integral part of a formal staff development program.

7. the present organizational structures and procedures of the library system should be modified in order to support a more formal planning mode. The details of these modifications should be worked out by each unit and group, but certain recommendations can be made now:

a. individuals should be able to submit proposals or plans directly to staff committees and to the Planning Council, in addition to having access to the planning group in their unit

b. as units engage in planning, they should take the initiative in acquiring needed information from faculty and students they serve, from other units including those affected by the plans, from staff experts, and those officially responsible for the planning process

c. units should gather meaningful statistics which relate their collections/services to academic and research programs on campus, and not merely provide measures of workload

d. units should submit plans in the formats prescribed by the new procedures

e. annual budget requests should be modified to include contingencies for normal increment of funds, reduction of funds, and constant funding in order to facilitate setting of priorities

f. annual reports should specify strengths and weaknesses, include performance goals for the following year, and report on the progress made toward last year's goals

g. the planning responsibilities of the present standing committees of the library system and the Library Assembly should be clarified. Additonal coordinating committees may be necessary with major planning responsibilities, including a public service coordinating committee and a staff development committee, each reporting to the Planning Council

h. greater use of *ad hoc* committees should be considered, to mobilize staff expertise and interest effectively

i. the Executive Board of the Library Assembly should play an important role in the planning process by channeling proposals from the Library Assembly members and committees into the formal stages of planning, and reporting regularly to the membership on the status of plans being considered by other groups

j. the tendency of the Library Council to fall into desuetude should be examined by the Task Force on Organization for its implications for the planning process, especially on the need for lateral as well as vertical communication in the library system. It is not likely that the Library Council will be an active participant in the planning process, but it might profitably be redirected to facilitate reporting and discussion of events in planning.

REPORT OF THE
TASK FORCE ON
POLICY

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INTRODUCTION

The MRAP Task Force on Policy studied a variety of definitions of "policy". However, the one it found most useful comes from the chapter on policy in the *MRAP Manual*: *"policy (is) the translation of statements of intent (objecti es and goals) into administrative guidelines, rules and regulations to be used in developing and following a specific course of action to achieve objectives and goals."* Policies can be both restrictive and permissive - their purpose is to describe limits of acceptable action and grant freedom to operate independently within these limits. Policies are valuable because they help standardize activities, facilitate decision-making, and minimize confusion, while coordinating the actions of the various departments within a library system.

Two distinct types of policies can be distinguished; operational and overall. Operational policies provide guidelines for day-to-day operations; this type of policy helps middle and line management make autonomous decisions on internal matters involving their direct levels of responsibility. Overall policies, which are usually developed by the top levels of administration with appropriate input from areas both within and without the library system, provide more general guidelines for implementation of objectives. Well-written policies provide freedom of interpretation for the various levels of management to assist in making decisions as well as providing the whole library system with guidelines under which to operate without making frequent, even daily, demands upon the library system administration to relate to specific incidents or crises.

The Policy Task Force members found that many of those interviewed were confused about what objectives, policies and procedures mean in terms of current management practices. Policy, and the role it plays in the management process, must be distinguished from rules and regulations (specific statements as to what may or may not be done) and from procedures (outlines of exactly what to do). The value and benefits of a good policy structure are dependent on a larger system of well-thought-out objectives, articulated through operational and overall policies formulated through the involvement of many areas of the University and the library system.

Several of those interviewed did not seem able to discriminate between procedures and policies. This problem is further compounded by the fact that within the library system many of the policies are reflected in the three major memo series in terms of procedures. In addition, many of the memos have not been regularly reviewed and, as a consequence, need revision. Thus, looking for guidelines, staff members assume that the procedures outlined in the memos reflect what appears to be the body of policy. In essence, there is very little written, formal policy.

I. DESCRIPTION OF CURRENT PRACTICES

University policy is made by the Board of Regents, the President, and the Chancellors of the four campuses, with ultimate authority residing with the state legislature and the Governor. At the Chancellor level on the College Park campus, the Director of Libraries has no formal involvement in the making of Campus (or University) policies.

There appears to be more oral tradition than official policy regarding the library system's relationship to the University. The feeling seems to be that everyone knows the libraries are here to be used when necessary, but that the library system is not actively supported as a major educational resource.

Whatever Campus policy is made in relation to the library system is made through the Vice-Chancellor for Academic Affairs in consultation with the Director of Libraries and with recommendations from the College Park Campus Senate or one of its committees. This generally takes the form of letters and memos as directives to the Director. The University Administration is concerned with policy making in broad areas which affect the library system, *e.g.*, student/faculty borrowing privileges. It has taken the position of actively discouraging departmental libraries, although this has not been formalized into a written statement.

The Senate's Adjunct Committee on Libraries and Instructional Aids (which consists of two faculty members from each academic division, two undergraduate students and one graduate student, the Directors of Libraries and of the Computer Science Center, and a professional librarian) recommends and reviews, but does not make, policy, in accordance with its charge from the College Park Senate.

Within the area of library system administration this Task Force looked for policies regarding personnel, staff resources and development, budgetary processes, overall administration, and policy-making itself. The Administrative Memo Series is the principle body of written, formal policy regarding administrative matters. Most of the memos cover personnel policies which the library system draws essentially intact from University personnel policies described in the various handbooks for faculty, associate staff and classified staff. Library system adaptations in personnel policy must be approved by the UMCP Personnel Office, with certain discretionary powers left to the Director of Libraries in internal matters.

Other areas covered by the Administrative Memo Series include facilities, budgets, supplies, and emergencies. The memos on these subjects appear to be more procedural than policy-setting.

Policies on staff resources and development are incorporated into the University and library system's personnel policies regarding remission of fees and release time. Other policy statements on staff development and training are included in the library system's Equal Employment and Education Opportunity Program, which details orientation and training programs offered to library system employees.

The policies reflected in the Administrative memos and the informal policies which are not written down are determined principally by the top administrators of the library system: the Director, the Associate Director, and the Assistant Directors. These plus the head of the Undergraduate Library comprise the Library Cabinet which meets weekly. These positions, as well as the heads of departments, the Coordinators of Reference Services and Technical Services, the Head of the Engineering and

Physical Sciences Library and two elected representatives from the Library Assembly make up the Library Council. Both of these groups discuss with the Director various policies, programs and services. It is unclear who actually makes final decisions. Interviews indicated that some decisions are made by vote or consensus of groups, while other matters may be discussed by the Cabinet or Council with final decision resting with the Director. This is especially true in the are of personnel matters where the Director has final authority. The responsibilities of the Council and Cabinet are not defined in any written policy. Their respective roles are similarly perceived by many of those interviewed as being advisory to the Director.

The roles of Staff Alliance and Library Assembly are less defined, although they are perceived to have an adivsory function like the Cabinet and Council. The advisory position of both of these staff organizations is currently evolving as both groups increasingly address themselves to issues related to library administration.

A Committee to Formulate Book Selection and Collection Development Policies (COFBOS and CODPOL) was formed in the fall of 1973; it is chaired by the Assistant Director for Reader Services. The rest of the membership consists of the Coordinator of Reference Services, the Head of the Engineering and Physical Sciences Library, the Head of the Undergraduate Library, the Assistant Director for Technical Services, and the Assistant Director for Collections. The Committee has been conducting interviews with members of the staff in order to determine the present level of collection development and the current methods of acquiring materials, preparatory to formulating a documented book-selection and collection-development policy. There is at present no statement of policy on selection of materials for the general collection of the College Park library system. The current Assistant Director for Collections broadly interprets his role to be that of general overseer of the total collection, with particular responsibility for several special collections as noted below.

The library system currently acquires materials in all of the subject areas which encompass the fields of study on the Campus. The academic departments appoint library representatives who forward orders for wanted materials to the heads of the appropriate subject reference rooms in the McKeldin Library for purchase. Orders for duplicates of items already in the collection are returned to the departments. Additionally, the librarians in the reference rooms and branch libraries are responsible for recommending for purchase those items which they feel should be added to the collection. Unless budgetary restraints interfere, most routine items are acquired - more expensive items being purchased as the budget permits. The Assistant Director for Collections purchases in a number of general areas (especially retrospectively), the emphasis varying from year to year depending upon identifiable gaps in the collection, the number of new programs undertaken by the academic departments, and professional interest.

In the area of special collections, there is a written policy statement covering the acquisition and use of materials for the Maryland Room

and for the Archives. The Maryland Room acquires a wide range of material relating to the State and serves as a state documents depository; the Archives serves as a depository for University records. In addition to reporting to the Assistant Director for Collections, the University Archivist communicates directly with the Vice-Chancellor for Academic Affairs on some matters not directly related to the library system. In accordance with stated policy, rare books are not actively collected, but often come to the system as parts of larger purchased or donated collections.

The Katherine Anne Porter Room houses a collection of items given by Miss Porter which do not yet legally belong to the University. There is no formal, written policy covering the acquisition of additional materials for this collection, but there has been a consistent effort to acquire items to complement Miss Porter's materials. This has taken the form of collections of works by twentieth-century authors - some in great depth. The East Asia Collection is based on a nucleus of materials relating to a collection of Japanese-language material from the occupation period of 1945-1950. The written purchasing policy for the collection, formulated by the present Head of the Collection, is based upon language - only works in Chinese and Japanese are acquired, with some exceptions in the reference area.

The Undergraduate Library has a detailed selection policy, which has been developed since its opening in January 1973. The present policy is continuously revised by a book selection policy committee, subject to approval by the Director of Libraries, and is available to staff selectors within the Undergraduate Library. Several years before the opening of the Undergraduate Library, a statement was written entitled "A Selection Philosophy for the Undergraduate Library Collection". The general impression of many of those interviewed was that no overall policy was used in developing the opening day collection, especially since the contingencies of time encouraged the mass transfer of titles from the McKeldin Library in order to have a prescribed number of volumes on the shelves. The Engineering and Physical Sciences, Chemistry and Architecture libraries acquire materials in the areas which they serve, but no policy statements as to the depth of their collection efforts have been identified.

The Heads of the five reference rooms, the Loan Department and the Inter-Library Loan Service of the McKeldin Library and the Heads of the Engineering and Physical Sciences and the Architecture Libraries report to the Assistant Director for Reader Services. The Head of the Undergraduate Library reports to the Director of Libraries, and the Head of the College of Library and Information Services Library reports to the Dean of the College. The Head of the Chemistry Library reports to the Head of the Engineering and Physical Sciences Library.

Policy relating to internal matters in the branch libraries is usually set by the head of the respective library. Other policy decisions are made by the head of the branch library in conjunction with the head of the department or college which the library serves, the department's library committee, and/or the Assitant Director for Reader Services, and/or the Director of Libraries. The Undergraduate and College of Library and Information Services Libraries have formal policies covering a significant portion of their operations. Other branch libraries

have written policies covering certain services and procedures, such as interlibrary loan and loan periods.

Written policy governing the reference rooms in the McKeldin Library is practically non-existant, with the exception of a few highly specialized areas, such as Government Documents. The head of each reference room sets internal policy, and policies are communicated and clarified by the Coordinator of Reference Services. The level of service to be provided by each reference room is determined internally; it is unwritten and not uniform.

Formally stated circulation policies are embodied in the Reader Services Memo number 12 and the McKeldin Library Loan Department memo series. The recently formed Circulation Coordinating Committee (made up of the Heads of the McKeldin Library Loan Department, the Undergraduate Library Circulation Services, the Engineering and Physical Sciences Library and the Circulation Coordinator from the Data Processing Department) is charged with coordinating loan procedures for the libraries in the system, reviewing old procedures, and suggesting changes. The charge does not refer to circulation policies.

Inter-Library loans are governed by the policies of the American Library Association (ALA), Reader Services memo number 11 and the Mid-Atlantic Regional Library Network (MARLIN) Resource Guide and Manual. However, the policies embodied in the MARLIN manual are not uniformly followed by the participating libraries. Policies governing inter-library loan within the state are verbal only, based on agreements made several years ago between the University and the State Board of Education. Internally, policies are embodied in a procedures manual adapting ALA policies and rules.

The goals and objectives of Technical Services, which includes the Serials, Catalog and Acquisitions Departments and the First Search Unit, are those of the library system, however, few policies have been specifically drawn up to guide Technical Services, a Division the function of which is to provide support services to the rest of the library system. Persons within this Division who were interviewed express the opinion that policy is made by the top administrators and handed down in the course of carrying out an assignment. By generally accepting the support role of Technical Services, there is little occasion for the staff to initiate an expressed need for overall policy.

Little, if any, distinction is drawn between policy and procedure within the Technical Services Memo Series. For example, Memo number 12, entitled "Acquisitions policy", basically states ordering procedures and does not delineate any policy. The one policy which is stated as such, that Library of Congress cataloging is followed, has not been put in writing except as a preface to a procedure. Some of the memos in the series appear to have been written in response to a particular need or situation. The series does not cover many areas of Technical Services.

Procedures, but not policies, exist for formulating the book budget and setting up blanket orders with publishers, but they are not included in the memo series.

There is no written policy to guide the Data Processing Department, although repeated requests have been made for some guidelines. Some policies come from weekly Cabinet meetings at which time the Director of Libraries has the opportunity to clarify matters. There is a written statement as to the mission of the Department, written by the Head of the Department, stating its objectives, but this has been limited by budget factors. Priorities for the various services are set by the [Library] Advisory Committee on Library Automation (ADCOLA).

There is no policy concerning the relationship of the Data Processing Department to other automation centers on the campus. However, the Head of the Department works towards maintaining a sound informal working relationship with these other centers.

II. ANALYSIS OF CURRENT POLICY PRACTICES

This Task Force has found that, in general, the use of policies has not been recognized as an essential and effective managerial tool. With the exception of a few areas, policy exists informally if it exists at all. Frequently we found that policy was summed up in the word "tradition". Obviously the lack of a formalized policy structure can be either advantageous or disadvantageous depending upon an administrator's immediate need. While many staff members agree that much more written policy is needed to implement library objectives, one staff member very perceptively pointed out that too much written policy can be a limiting factor by narrowly defining roles and stifling creativity and innovation.

In the process of identifying and collecting those University policies which are applicable to the library system, it became apparent that there is no comprehensive framework, other than tradition, of common policy under which the library system operates. Most personnel matters have been covered; however, policy statements in other areas are lacking, unwritten, or incorporated in procedural memos.

The University Administration has not formalized its policies regarding library development on the College Park Campus. Departmental libraries continue to proliferate. The UMCP Administration claims to discourage this from happening, but the lack of firm policy has weakened the Administration's position. For example, an Art Library is being incorporated into the new Fine Arts Building currently under construction. At this writing there is confusion as to whether or not this library will be under the jurisdiction of the Director of Libraries or of the Art Department.

There are differences between the departmental libraries which add to the confusion about departmental libraries. The College of Library and Information Services Library is funded by both the School and the library system; its Head reports to the Dean of the College. In the Chemistry Library the funding comes from both the Chemistry Department and the library system but its Head reports through the library system and also works closely with the Chemistry Department. If the number of departmental libraries expands, some consistency and coordination should be planned.

At the University level, policy-making which affects the library system involves the Vice-Chancellor for Academic Affairs, the Senate's Adjunct Committee on Libraries and Instructional Aids, and the Director of Libraries. This Task Force received the suggestion from the Head of the Committee that an additional member of the Library Assembly be designated as a representative to this Committee for the purpose of obtaining additional information and input from the library system. This suggestion appears to be a sign that the Committee desires to be in a stronger position as an advisory body to the Director of Libraries.

The library system administration, like that of the University, does not have policies covering the entire system. Most policies regarding how the library system is administered and its relationship to the University Administration appear to be unwritten and perceived as a traditional type of library-university relationship without specific charges or roles formally defined by any written policy. Personnel policies governing the classified staff, based on state laws and guidelines, have been adequately documented by the University and by the library system; those for associate staff had not been clarified and documented until the Spring of 1974.

Other principle administrative areas in which policy is perceived differently because it is unwritten are:

1. the budgetary process
2. supervisory levels
3. charges, responsibilities, and authority for different areas both within and among departments in the library system.

Many persons interviewed by this Task Force expressed confusion and disagreement over the understanding of policies in these matters. We also found large variations of perception on exactly what policies are preently in effect.

Collection development was the main area mentioned in the Needs Assessment Survey as needing policy statements. (This area incorporates two of those mentioned above, *i.e.*, budgetary process, and charges, responsibilities and authority for different areas.) Although several of the special collections in the College Park library system are governed by formal or informal policies guiding the development of these collections, the general collections of the system have no such policy guidelines, except in so far as the system seeks to support the educational programs of the University.

Without a clear statement as to what "Collections" encompasses and who has final authority over the collection, and without a policy statement as to what subjects should be acquired and to what extent, the development of the collection tends to be uneven and dependent upon personal interests. Gaps in the collection are not systematically identified, nor are new educational programs always brought to the attention of the library system in any formal way. A representative of the Director serves on the Senate's Adjunct Committee for Programs, Curricula and Courses, which does provide the library system with some advance notice of areas in which it may need to acquire new materials or enhance existing holdings, but, in order to avoid the outlay of additional funds, new programs are often submitted to

the University Administration with statements indicating that adequate library support is available when the holdings actually are not adequate to support such programs.

Although the heads of the subject reading rooms approve the orders submitted by the various library representatives, they apparently do not feel free to reject other than duplicate requests. The library representative system itself depends on the interest and ability of the individuals involved, and some academic departments are poorly represented. No formal effort is made to provide the representatives with background material or guidelines as to what their purchasing policies should be.

The Engineering and Physical Sciences Library utilizes its library representatives as a library committee to advise on matters of importance to the academic division it serves, such as identifying gaps in the collection and suggesting titles to be replaced. Selection of new materials is the responsibility of the library staff.

The Undergraduate Library has formulated a media selection policy which provides comprehensive coverage for the selection of materials ordered for that library. While this meets the Undergraduate Library's needs, the role of the McKeldin Library in relation to the branch libraries, especially the Undergraduate Library, and what this means in terms of collection development has not been defined, with the result that there is a duplication of materials in several locations both within the McKeldin Library and between the McKeldin Library and the branches, some of which is intentional. In fact, a policy which is currently operational provides for duplication in the McKeldin Library of all titles, with a few exceptions, ordered for the Undergraduate Library, unless they are already available elsewhere in the system. It is unclear who is responsible to originating this policy; it has been attributed to various sources, all outside of the library system, *e.g.*, the Chancellor and/or the Senate's Adjunct Committee on Libraries and Instructional Aids. While some of this duplication may be desirable, a stated policy on areas of responsibility seems necessary to guide future acquisitions, especially in light of the fact that the library system will probably be operating under a reduced budget in the next several years. Duplication of materials also results from the fact that they are acquired through several different channels with little coordination--by blanket order arrangements, purchase by departments, purchase by the Assistant Director for Collections, and as gifts.

In the area of Special Collections, there is no formal statement as to which areas comprise "Special Collections." It is an unwritten policy that noteworthy books of value will be placed in the Rare Book Collection if they are isolated copies. If there are several books on the same subject, by the same author, *etc.*, they will be placed in the Special Collections. Written policy statements govern the acquisition of materials for the Maryland Room, Archives, and the East Asia Collection; however, other collections which fall under this heading have no such guidelines - many have been developed around the nucleus of the K. A. Porter Collection. At present these materials are available only on a limited basis; policies governing access to them remain to be defined.

Within the Division of Reader Services, lack of written policy has

permitted wide interpretation of responsibilities, job descriptions, levels of service, and relationships to other departments and rooms. Perhaps in some areas boundaries need to be set either to limit the scope of actions, or to set a clear minimum of responsibility. Where operations manuals exist, they seem to be in response to a lack of clear policy rather than an implementation of policy. Communication of policy is hindered by the fact that much policy is unwritten. The problems of communicating unwritten policy through proper channels to a large staff are obvious. Reader Services' policies are often difficult for the library patron to ascertain, particularly since they are unwritten and not standardized throughout the library system.

Levels of service are not uniform within the library system. For example, services in the reference rooms within the McKeldin Library range from attempting to provide some minimum of service for every request through attempting to offer exclusive and highly specialized bibliographic services to advanced students and faculty members only. In interviews, this Task Force encountered requests for uniformity of levels of service, clarification of the roles of the McKeldin Library reference services, especially in relation to undergraduates now that the Undergraduate Library is open, clarification of the allocation system, and better policy concerning the duplication of materials.

In general, the branch libraries seem to operate more independently in setting policy for their area of responsibility than do the reference rooms in the McKeldin Library. In interviews, this Task Force learned that because much of the policy governing the library system is unwritten, some of it may never be implemented in the branch libraries, leading to situations which may be advantageous or disadvantageous. They may be advantageous in that the lack of written policy permits a degree of autonomy needed to maintain the dual allegience of the heads of these libraries to the heads of the departments which they serve and to the Director of Libraries. They are able in interpret or make policy in ways which accommodate their specific needs. Also, it allows for experimentation, with the Director's approval, in other policy areas. They may be disadvantageous in that where there is a need for uniform policy, such as on borrower's privileges and on duplication of materials, these needs are inadequately met.

The Undergraduate Library staff has begun a systematic listing of all policies which are used within that library. This listing, the only policy index which this Task Force found in its data collection, gives the area of coverage, format, location, and parent document of each policy. The updating mechanism is also described.

In direct contrast to this systematic approach to policy within the Undergraduate Library, the final area which we have examined, namely the support services of Data Processing and Technical Services, do not have a clarification of either their overall or operating policies. The lack of overall policy for Technical Services has caused particular confusion regarding the role which that Division has in collection development.

This Task Force gained the impression that Technical Services allocates the book budget among the libraries and academic departments

in an informal system even though this Division does not, in any other way, participate in assessing the needs of the library system's collections. There is no written policy on the selection of publishers to be included in Department C, the blanket order agreements. These are situations which must be resolved in relation to the work of COFBOS and CODPOL.

The support services need overall policies from the library system administration regarding the persons who should be involved in their decision-making processes. The functions of these areas are designed to facilitate the services provided by the entire library system, and decisions must be made by persons who represent all affected areas. The work of ADCOLA assists the Data Processing Department by determining priorities in the development of new programs and the modification of existing ones. This method provides the Assistant Director for Automation Services with invaluable guidance by allowing representatives of all library system areas to work together in the decisions which shape the future of automated services for the entire system.

III. RECOMMENDATIONS

Given the time frame of MRAP, the Task Force on Policy was not able to examine or make recommendations in every area of policy within the library system. The following are among the most readily identifiable areas in need of policy action.

This Task Force, in submitting its recommendations, does so with the following principles as its guidelines:

1. formal policies are the means for achieving the library system's stated objectives and goals
2. policies describe limits of acceptable action and grant freedom to operate independently within these limits
3. policies facilitate decision-making and coordinate the activities of the departments of the library system
4. the various divisions of the library system are interrelated, and cannot function independently of each other
5. all areas of the library system's operations should be governed by written policy statements
6. policies affecting more than one unit, department, or division should be made in consultation with all of those who are affected
7. it is assumed that when policy decisions are made, the appropriate staff members involved will be consulted.

With the above in mind, this Task Force makes the following recommendations:

A. that the library system's role within the UMCP structure be formally enunciated. The library system must operate in relation to the University's objectives. The library system's goals and objectives, and thus its policies, must be oriented towards supporting the University's mission. A formal charge to the library system would clarify

its role and help in establishing meaningful goals. Conversely, the library system, as a vital part of the University, needs to be included in the establishment of University goals and objectives.

B. that the Director of Libraries be included at the policy-making level on the College Park Campus in order to assure that the library system will be aware of new trends in educational programs and technologies and the University's responses to them, and to assure that the University Administration is informed of constraints upon the library system.

C. that the University formally state its position on the centralization/decentralization of library services on the College Park Campus, and that this policy be communicated to the entire academic community.

D. that departments contemplating new academic programs be required to submit to their schools or colleges, academic divisions, and to the Senate's Adjunct Committee on Programs, Curricula and Courses documentation as to the depth of current library holdings in that field, or a proposal for increasing holdings, before new programs be officially approved. This would be done with the assistance of the library system. If it be determined that the library system is expected to expand its collections and/or services, then financial support from new programs and research grants should be included in the proposal.

Possible the Senate's Adjunct Committee on Libraries and Instructional Aids could be asked to address itself to the above recommendations.

E. that the possibility of strengthening the relationship between the library system and the Senate's Adjunct Committee on Libraries and Instructional Aids be explored, for their mutual benefit, and that the library system actively seek more involvement with the faculty and students on the campus. For example, a member of the Library Assembly could be elected or appointed to the Committee in order to provide additional library system input.

In order to translate its goals and objectives into effective practices, the library system needs a body of general policy statements indicating the direction which fulfillment of these goals and objectives will take. To this end, this Task Force recommends the following:

F. formation of a permanent policy committee, appointed by the Director within six months after the submission of the MRAP study report, to collect and review existing written and unwritten policy, and to identify areas where policy statements are needed. This committee should represent all of the divisions of the library system and would operate in consultation with the Director, who bears the final responsibility for the library system's policy. These policies should be reviewed on an annual basis in consultation with the appropriate staff members.

1. policies affecting only one unit, department, or division would of course be reviewed at the appropriate level and would not ordinarily be included in a general policy manual; these would be gathered into separate divisional or departmental manuals.

It is the opinion of this Task Force, however, that few policies would fall into this category

2. the charge to the committee should include the gathering of all policy statements into a manual separate from statements of procedure. This manual, when assembled, would be made available throughout the library system to act as a guide in making policy decisions at all levels, which would be in accordance with the library system's goals and objectives

3. the master copy of the manual would be maintained in the library system's administrative offices, with a staff member specifically responsible for keeping it up to date with replacement pages, providing a current index, and seeing that copies of all new pages are distributed throughout the library system

4. the staff should be encouraged to bring to the attention of the committee areas or topics which should be addressed by policy statements. The committee should establish a mechanism for communicating to staff members progress on policy development.

G. that the Committee to Formulate Book Selection and Collection Development Policies (COFBOS and CODPOL), or its equivalent, accelerate its activity in order to complete its work within eight months from the completion of the MRAP final report. The resulting collection policy should be reviewed at stated intervals, perhaps every three years, and should include the following points:
1. what constitutes a Special Collection, how it is accessible, and to whom
2. subjects to be included, and to what depth, in the general collection, and where housed
3. duplication of material in more than one location
4. weeding
5. selectors - who is to do selecting, who has final authority as to selection
6. book budget - who allocates, how are allocations and expenditures reported, and to whom
7. fragile books - how treated, where kept
8. systematic identification of gaps in the collection
9. orientation of library representatives, with specific guidelines for purchase of library materials.

H. For those working within the library system, policy should set the upper and lower boundaries of responsibility for each level, permitting freedom to make lower-level policy within these guidelines. To facilitate this, this Task Force recommends the following:
1. that formal charges be prepared for the Associate and Assistant Directors, Department Heads, and Coordinators, delineating the roles and responsibilities of each, outlining their administrative

functions, and including the relationship of the heads of the branch libraries to the library system and to the departments they serve

2. guidelines for the extent to which a supervisor may set policy, (*i.e.*, may a given supervisor at any level set policy affecting only his/her area of responsibility without higher level clearance if this policy does not violate existing formal policy?)

3. a cohesive library system statement on staff development incorporating remission of fees, training, promotion policy, and funds for professional development. Much of this policy does exist, but is scattered.

I. Policy statements are needed in regard to the subject reference rooms and the branch libraries addressed to the following points:
   1. definition of what constitutes graduate and undergraduate research and which library facility is responsible for meeting the level of need in a given field

   2. coordination of materials in interdisciplinary fields, and what duplication is or is not necessary

   3. to what depth reference service will be provided in each branch library and in the individual reference rooms in the McKeldin Library.

J. This Task Force encountered several areas of policy need within the areas of Technical Services and Data Processing. Given the time-frame of MRAP, this Task Force was unable to identify every area. However, the following are among those in which immediate policy decisions could and should be made.

   1. serials list - completeness of data

   2. operational policies covering acquisition of serials and monographs

   3. gifts - which to accept, and by whose authority

   4. incomplete sets - how completed, when

   5. cataloging and processing:

      a. use of MARC, original cataloging, Xerox services provided

      b. transfers - what gets transferred, authorization needed, staff needed

      c. clarification of "Rush" policies

      d. withdrawals

      e. repairs and rebinds.

REPORT OF THE TASK FORCE ON BUDGET

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INTRODUCTION

The information presented in this report is the result of reviewing the unit, division, and library system asking budgets for 1974/75 and the control documents for that year, of reviewing the library system asking budget for 1975/76, of reading University reports and professional literature, and of interviewing selected Assistant Directors, Department Heads, the Director of Libraries and the University Budget Officer.

I. DESCRIPTION OF CURRENT LIBRARY BUDGETING PRACTICES

A. Development of the Asking Budget for the Library System

The development of an asking budget by the library system follows the organizational hierarchy (an organizational chart is attached as exhibit 1). Heads of departments, of branch libraries, and of reading rooms submit requests (for personnel, library materials, facilities, furniture and equipment, and supplies in order of priority, and only above current allocations) to the Assistant Director for Technical Services, or to the Assistant Director for Reader Services, or to the Assistant Director for Collections, or to the Assistant Director for Automation Services, or to the Head of the Undergraduate Library, as appropriate. These requests conform to an outline in sequence and content and include objectives (memo dated February 14, 1974 "Budget requests" is attached as exhibit 2).

The Assistant Directors and the Head of the Undergraduate Library, in turn, following the same prescribed outline and, based on requests submitted to them, submit requests to the Director of Libraries. They assign priorities to their requests and include objectives. Although the asking budgets from the Assistant Directors and the Head of the Undergraduate Library include requests for library materials, the Assistant Director for Technical Services prepares a separate request for library materials for the library system. The Associate Director provides input for supplies and for personnel for the whole library system. All information is due to be submitted to the Director of Libraries by April 1, one year and three months prior to the beginning of the fiscal year of the asking budget.

The Director of Libraries then compiles the library system's asking budget to be submitted to the College Park Campus Budget Officer by mid-April of each year. The Director seeks clarification of requests from his Assistant Directors, the Head of the Undergraduate Library, and the Associate Director, but he takes full responsibility for the final asking budget for the library system.

The asking budget complies with the format requested by the University Budget Committee (sample forms attached as exhibit 3). It also includes the library system's priorities in broad categories and offers supporting data and exhibits. The format requested by the University Budget Committee varies from year to year.

B. Budget Cycle Outside the Library System

In May, the Director makes an oral presentation of this budget to the University Budget Committee (the four Vice-Chancellors, two Assistant

Chancellors, the Comptroller and the Budget Officer). The University budget is compiled by the Chancellor and reviewed by the President and his Administrative Council (Chancellors and Vice-Chancellors).

In October, the University budget is revised by the Board of Regents Budget Committee and reviewed by the Maryland Council for Higher Education. In January of the following year, the State Department of Budget and Fiscal Planning compiles the budget before is sent to the legislature as the "Maryland State Budget for fiscal year..." bill. The bill must be passed by April 1st.

C. Official Working Budget Reported to the Director of Libraries

The Chancellor and the Budget Committee of the University review the result. The Committee can make adjustments at this time. The Vice-Chancellor for Academic Affairs reports the library system's working budget to the Director in June, 13 months after this cycle began. The receipt of this working budget occurs sometimes before, and sometimes after, the next year's budget document is due to be submitted to the Campus Budget Officer.

D. Income from Other Sources

Fiscal support from the State is supplemented by other sources of income: in-house (internal) income; grants, gifts and donations; and other funds. Book fines and fees charged for lost books, Maryland Academic Libraries Center for Automation Processing, and the copy machine concession make up, for the most part, the in-house income. This money is placed in a separate revolving fund for each library in the system and is used by the system as discretionary funds to meet a variety of expenses. The library system depends on Association of Research Libraries and the University's Contracts and Grants Office to keep it aware of possible sources of grant income. Other funds include a special allocation from summer programs or other special academic programs.

E. Allocation of Funds in Working Budget

Once the official working budget is received by the library system with broad categories specified, transfer may not be made from one fund to another except with permission of the Vice-Chancellor for Administrative Affairs. The final allotments within the funds, however, are in many cases made by the Director and Associate Director.

F. Allocation of Salary Funds

Funds for personnel fall into two categories: basic salaries and annual salary increments. Of the basic salaries, 4 per cent is currently set by the University as required by the State as a salary savings or turnover expectancy rate. When the turnover rate is less than anticipated, the difference must be made up from other library system funds.

Annual salary increments for classified employees are standard, as set by the State General Assembly and are funded by the State. Associate staff (librarians and certain other personnel) receive merit increases. There is a printed schedule of standard annual increments based on rank for associate staff as set by the library system; however, in actual

practice,these increments have often been fractions or multiples thereof, depending on the availability of funds, at the discretion of the Director and Associate Director.

G. Allocation of Library Materials Funds

The Assistant Director for Technical Services considers herself responsible for allocations of the library materials budget. These allotments cover most of the costs of purchasing books, periodicals and binding for the library system. The fiscal responsibility for these costs is rather complex.

Each library system unit, that is, the Engineering and Physical Sciences, Chemistry, Architecture, and Undergraduate Libraries and the McKeldin Library subject reference rooms receives an allotment for purchasing monographs. In addition, there are accounts for each academic department, and orders originating from a department are charged to its account. These accounts are administered by the appropriate reading rooms. The departments are not aware of the amounts allotted to their accounts and the Director of Libraries states that the figures are to be used only as guidelines. Most of the librarians who are responsible for these "department" funds have a different view, and plan very carefully to stay within the amounts allotted.

Although there is not a budget line for Special Collections, the Director of Libraries specifies a particular amount to be spent, with the sum usually coming from the summer school fund or from a special grant.

Using a figure based on a specified percentage of the total library materials fund, the Serials Department suggests individual allocations to various library system units for serials maintenance and new titles. These suggestions are based on experience, market information, and amounts spent the previous year. These suggested figures are submitted to the Assistant Director for Technical Services.

The major part of binding for the library system is taken care of by the Bindery Unit, a part of Technical Services. This unit has a specific allotment for this purpose and is responsible for binding for the Undergraduate Library, the College of Library and Information Services Library, and the McKeldin Library. The Chemistry Department pays for binding for the Chemistry Library, which makes its own binding commitments. Sources of funds for the Architecture Library's binding vary from year to year, but the material is handled by the Bindery Unit. The Engineering and Physical Sciences Library is allotted its own fund from the library materials fund, and makes its own binding commitments.

The Assistant Director for Technical Services bases her allocation decisions almost exclusively on amounts spent the previous year. At the time of this writing, however, this responsibility has been assigned by the Director to the newly formed Committee for Book Selection and Collection Development Policies. The Committee has reorganized the funding to reflect programs rather than academic departments and is adjusting allotments accordingly.

H. Facilities, Furniture and Equipment, and Supplies Funds

Requisitions for facilities, furniture and equipment, and supplies are submitted for approval to the Director and Associate Director who are guided by funds available and by the needs expressed by library system units in their budget requests.

I. Control of the Working Budget

The library system orders library materials (books, periodicals, microforms, phonorecords, etc.) directly, not via the University's Purchasing Department. Invoices received by the library system's Acquisitions Department as the result of these orders are processed by the system's Data Processing Department to produce weekly account statements for use by the Cabinet (Assistant Directors, the Head of the Undergraduate Library, the Associate Director and the Director). The Department also produces monthly statements distributed to each funded library system unit. The invoices are forwarded in batches to the University Comptroller's Office, where they are incorporated into the Comptroller's records.

The procedure for purchases for Special Collections deviates from the above. The invoices for material purchased in this case are sent directly to the Assistant Director for Collections, who forwards them to the library system's Data Processing Department. These invoices are not forwarded on a regular basis, with the result that both an invoice and the material are sometimes received before the Data Processing Department is aware that funds have been encumbered; similarly, there is no routine for handling credits.

The Assistant Director for Technical Services notifies the library system that no more book orders will be accepted when the book materials fund has been reduced to the point that she feels that it should not be further encumbered. The minimum point was $5,000 for this fiscal year (1973/74). This cutoff point usually occurs sometime in March of each year.

All other library system orders (*i.e.*, nonbook) take the form of requisitions to the University's Purchasing Department, which also forwards invoices to the Comptroller's Office. With the Purchasing Department invoices, with those forwarded from the library system, and with payroll time sheets as sources of information, the Comptroller's Office maintains accounts for the library system, and produces monthly statements showing the status of all of the library system's line items.

J. Labor and Assistants Funds

In requesting student funds in the asking budget, the library system bases its figures on last year's allocations, anticipated growth, any special projects which will include student assistants, and changes in pay rate.

The labor and assistants money is allotted to the library system in one lump sum. The Associate Director of Libraries is responsible for making the final allocation to the Assistant Directors and to the Head of the Undergraduate Library. At this point, the dispersement of funds follows the

organizational hierarchy (see exhibit 1).

Each Assistant Director and the Head of the Undergraduate Library is responsible for issuing a quarterly report to the Associate Director (copy of the form required for this report is exhibit 4).

Student assistants and temporary employees are paid from this fund. This work force is supplemented by work-study students who work in the library system but who are paid by the University's Student Aid Office.

II. ANALYSIS

A. The Budget Inside the Library System

The procedure for formulating the library system's asking budget functions well. The guidance provided to the reporting units by the Associate Director's outline has helped to produce consistent formats which are more easily incorporated into a single document. However, the lack of long-range plans or coordinated short-range plans, and a budget process which calls for annual increments only, emphasize short-term objectives. This emphasis, plus a lack of communication between units, has resulted in a possessive and inward-looking attitude within the library system units. This, in turn, encourages a focus on increments without reevaluation of programs and procedures. Overstaffing, and its consequent pressure for space, is one result; lack of consideration for the library system as a whole is another.

The most prevalent staff dissatisfaction with the current budget process is with inadequate communication. This includes the lack of feedback after the unit requests have been submitted, the lack of explanation of priorities given (which makes decisions seem arbitrary), the transfer of funds from one unit's budget to another's without explanation, and the general feeling of not knowing "what is going on", *e.g.:*

1. unit heads have difficulty proceeding with even short-term plans when they have no information as to whether their requests have been incorporated into the library system's budget

2. resentment has built up over what has been perceived as an unfair distribution of staff

3. while flexibility in the use of funds can be a strength, this flexibility must be used very carefully. More than one unit has found itself in the awkward position of suddenly being without funds, making it necessary to cancel orders or generally change plans. Unexpected changes in funds could be, in part, ascribed to the irregular procedure in the handling of Special Collections invoices. The necessity for reducing one unit's allotment is frequently the result of another's overspending, or of mismanagement in another area of the library system. The need for specific and predictable resources is very clear if use of them is to be made in an orderly fashion. The library system already has a control for spending; it remains only for it to be enforced

4. there is clearly a felt need to be aware of the total operation of the library's budget system. The sensation of being in limbo, with little or no concern on the part of the library system administration or of other units, is felt all too frequently, resulting in confusion, resentment, and insecurity.

B. The Budget Outside the Library System

Provision by the University Budget Office of a standard budget format, using standard forms from year to year, would considerably facilitate the planning and preparation of the library system's final asking budget document.

Although the University Budget Office did provide an opportunity for the library system to present its programs within the format of the 1974/75 asking budget (*"The need for the requested special increases should be fully documented in the written portion of your submission"*), the library system's response was not sufficiently specific or program oriented. Descriptions of the impact of reduced, same, or increased funding of a program of library services and collections would make the budget request more forceful. Some new programs have not been adequately funded because little or no cost analysis was required by the library system. If more attention were paid to these factors, rather than to comparative data which are of questionable accuracy, the budget request would have more impact.

The turnover expectancy rate creates a real problem in the library system's budget. Four per cent may have been a realistic figure when the national economic picture for libraries was one of growth; now, with fewer job openings for library personnel, the staff is more stable and turnover is lower. As a result, this year other funds had to be used to meet the amount which is due the State.

The library system has more and more often found itself with less funding than it requested. The past practice of covering an initial shortage in one fund by tapping another could give the erroneous impression that the amount requested was excessive. It camouflages the lack of funding by shifting the detrimental effect to another area, so that the consequences of the shortage are not readily discernible. This practice can make the library system's budget requests seem unrealistic and weaken its justifications.

Not only is the receipt of the working budget from the University delayed until the next asking budget is due but, frequently, it is not received until right before (or even into) that budget's fiscal year. The reasons for the delay are not always understood by the library system staff and morale might improve if it were clear to the staff that the delay was not the fault of the library system's administration.

III. RECOMMENDATIONS

A. The Budget Inside the Library System

From its study of the library system's budget process, this Task Force does see some justification for having a budget officer to plan and

regulate expenditures. However, this officer would need the appropriate authority and the full support of the top library system administration. On further reflection, this Task Force has decided that the Library Cabinet, with the addition of a Head of the McKeldin Library, has the authority, information, and coordinating capability to develop and control the library system's budget. The responsibility for communication on all levels, accountability for expenditures, and cooperation in the development of the budget should be directly in the Cabinet.

This Task Force further recommends that:

1. each unit head who submits a budget request be kept informed as the budget cycle progresses, by the Assistant Director to whom he or she reports, *e.g.*,

   a. as each incorporating step is taken, the unit head be informed, in writing, what parts of his request have been included;

   b. as reports come back from the University, the unit head be kept aware of the status of the budget request

2. the staff be made aware of the accessibility of the asking and working budget documents and the budget control documents. Copies of these should be kept in locations which in themselves do not inhibit the staff from consulting the documents

3. the Committee for Book Selection and Collection Development Policies should allocate the library materials fund, and that the Acquisitions Department be authorized to refuse orders from a unit whose account is completely encumbered. The Department would notify that unit and the Committee for Book Selection and Collection Development Policies of this action. The Committee would review, prior to the commencement of each budget cycle, unit funds that have proven significantly inadequate the previous year

4. transfers of funds from one account to another be discussed within the Cabinet before decisions are made, and justifications for transfers be indicated in writing on the weekly and monthly reports from the library system's Data Processing Department

5. library system units be required to present their budget requests in a program format, or at least to accompany their request with programs to justify them, and that the units be given the instruction and assistance needed to do this

6. on a basis of three-year intervals, each library system unit prepare a review and justification of its staff and programs, to be used by the Cabinet in developing the budget

7. the Cabinet appoint an individual to be responsible for keeping the Cabinet aware of available relevant awards, grants, etc., to supplement the State budget

8. the invoicing and materials receipts procedure for Special Collections conform with the procedures for all other library materials purchased

B. The Budget Outside the Library System

This Task Force recommends that:

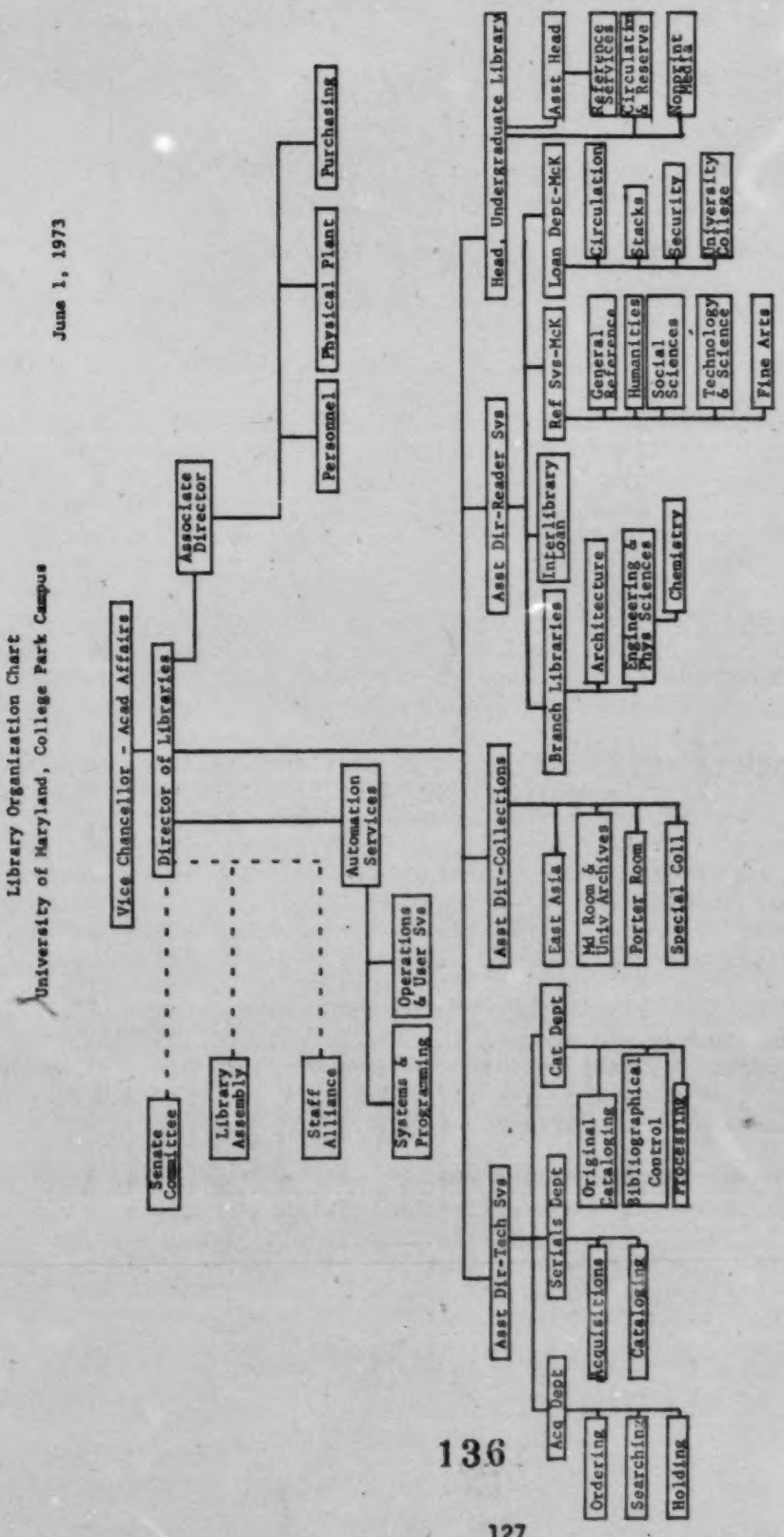
1. the library system take more initiative in working with the University Budget Office, *e.g.,*:

   a. by working with the University Budget Officer to change the current 4 per cent turnover expectancy rate, which is unrealistically high as the result of a tight job market and more stable employment

   b. by offering to work with the University Budget Officer to develop a standard budget request format using standard forms

2. the library system present its budget from the standpoint of specific programs and services to be provided, rather than using vague statements referring to *"a lower level of service"* or *"this is needed if we are to survive"*

3. at the same time that the budget is being developed, contingency plans be developed, to be adopted if funds requested are not forthcoming (the library system should emphasize that the University can not expect to receive $2,000.000 of service for $1,500,000). If this technique is not familiar to the budget developers, they should seek advice and assistance from the budget experts on this campus


Library Organization Chart
University of Maryland, College Park Campus
June 1, 1973
Vice Chancellor - Acad Affairs
Director of Libraries
Associate Director
Personnel
Physical Plant
Purchasing
Senate Committee
Library Assembly
Staff Alliance
Automation Services
Systems & Programming
Operations & User Svs
Asst Dir-Tech Svs
Asst Dir-Collections
Asst Dir-Reader Svs
Acq Dept
Serials Dept
Cat Dept
Ordering
Searching
Holding
Acquisitions
Cataloging
Original Cataloging
Bibliographical Control
Processing
East Asia
Md Room & Univ Archives
Porter Room
Special Coll
Branch Libraries
Interlibrary Loan
Architecture
Engineering & Phys Sciences
Chemistry
Head, Undergraduate Library
Asst Head
Ref Svs-McK
Loan Dept-McK
Reference Services
Circulation & Reserve
Nonprint Media
General Reference
Humanities
Social Sciences
Technology & Science
Fine Arts
Circulation
Stacks
Security
University College

THE UNIVERSITY OF MARYLAND LIBRARIES
COLLEGE PARK, MARYLAND
20742

OFFICE OF THE DIRECTOR

February 14, 1974

TO: Assistant Directors, Administrative Assistant, and heads of departments, branch libraries, and reading rooms.

FROM: Robert M. Pierson, Associate Director of Libraries RMP

RE: Budget requests

On April 1 budget requests for 1975/76 are due in this office.

There are many facts about the situation which you need to bear in mind; to some of you these facts are familiar, but to others they may not be.

The following notes, covering a wide range of problems and presented in semi-random order, are offered for what they may be worth. Please call me if something is not clear.

A. The budget-request cycle: Sometime in April Mr. Rovelstad will be required to submit a request for 1975/76. This request will be processed and we will receive our final word in the spring of 1975.

B. The working budget for 1974/75: we will receive this, we hope, before the Library's asking budget for 1975/76 is due. But this will be long after your request is due. APPLICATION: Your request for 1975/76 must come in before you know what you are getting for 1974/75. Therefore you must ask on the assumption that you will get no increase in 1974/75. For example, if you have asked for one additional position for 1974/75 and you want yet another for 1975/76, ask for two new positions, noting which was asked for already.

When, in May, we prepare the final draft of the Library's asking budget, we will make the necessary adjustment. If we have not yet received word on the 1974/75 budget, we will ask in terms of increases over the 1973/74 budget.

C. What to cover in your budget request and how to present it: Cover (1) personnel (new positions, reclassifications, and student hours), (2) library materials (books, etc.) and (3) facilities, furniture and equipment, and supplies. Please use the following outline:

I. Introduction: objectives
II. Personnel
  A. New positions
  B. Reclassifications
  C. Student assistants
III. Library materials
IV. Facilities, furniture and equipment, supplies
  A. Facilities
  B. Furniture and equipment
  C. Supplies
V. Other

At the upper right of each page, indicate the page in the whole sequence and also the location in the outline, e.g., "Loan, p. 2 (II, B)."

We are asking that this outline be adhered to in order to facilitate the preparation of the final request. Instead of searching each report for its recommendation on, for example, book budget, we turn to III. If you do not use a section, please account for it, e.g., "B. Reclassifications. None are requested."

D. Objectives: In your Part I and at the beginning of each section, indicate objectives, i.e., what you want to do. Then, as you say what you want added, show how the item (the new Library Assistant III, for example) will help you achieve the objective.

Unless you are asking for very little, indicate your priorities. This will help us decide what to zero in on.

E. Present your request via the line of command: allow enough time for review and combining. Line officers should establish deadlines appropriately. Line officers must not merely forward requests: they should evaluate them, forwarding only those which they approve, and they should establish priorities within their areas (just as those who compiled the reports they are reviewing established priorities within theirs).

F. Personnel: Although some areas are extremely modest in their requirements, a tendency has been for library units to ask for overnight growth, regardless of space requirements, etc., etc. Without assigning quotas, let me suggest that each division (Technical Services, Reader Services, etc.) zero in on relatively few positions.

Present arguments: do all you can to justify every addition. Be specific, e.g., "to provide reference service in the evening," not "to improve coverage." Show relationships to long-range planning. Point to lacks, to need to catch up. Use statistics whenever possible.

For new positions and reclassifications, you do not need to cite financial requirements--only the titles.

On reclassification, remember to write about the requirements of the job in relation to other jobs, not about the quality of the incumbent's performance.

Student assistants: really bear down on this. As you know, this is the area where we have suffered most. Our increases have not kept up with the demands for service and the increase in wages.

G. Library materials: You may assume that we will ask for an increase to cover inflation. Help us argue for a greatly increased book budget. What special factors in your area can you think of which can be used as arguments?

H. Facilities, furniture and equipment, supplies: List what furniture and equipment you need, rather than stating total costs. Use rather general descriptions, e.g., 72-tray catalog, 4-drawer file, index table. If information on brands and prices is handy, include it, but do no research. When we ask for an increase we need to state some kinds of furniture and equipment we need.

Special categories, e.g., a whole new program of AV or EDP equipment, should be presented with special emphasis and facts and figures.

NOTE: Do not bother to list needs at all if you want only supplies in about the present quantity plus 10% allowance for normal growth.

I. "Realism": money is tight; ask for the essential, and justify it thoroughly. Distinguish between (a) goals (what you need ultimately or by 1980) and (b) what you must have in 1974/75 in order to maintain present levels of service or to bring service up to acceptable levels. Our strongest argument is that we serve already-established programs: show why you need something in order not to fall behind and in order to do what we are asked to do. Show where failure to add would constitute a de facto reduction.

Keep in mind that we may not only get nothing at all but indeed experience a reduction--not just de facto but actual. For the record, we must ask for means of improving our system, if only to show that we care. But do not build up your expectations.

Schedule 1

DIVISION/COLLEGE/DEPT._____
1974-75 SUMMARY OF ASKING BUDGET INCREASES

	FTE NUMBER	AMOUNT
Faculty Positions (see Schedule 2)		
Classified Positions (see Schedule 2)		
Non-Faculty/Non-Classified Positions (see Schedule 2)		
Salary Adjustments (see Report)		
Labor and Assistants (see Report)		
Operating Expenses:		
Communications (Schedule 3)		
Travel (Schedule 4)		
Equipment and Facilities (Schedule 5)		
Supplies and Services (Schedule 6)		
Other (Schedule 7)		
Total Requested Budget Increase		

Schedule 3

DIVISION/COLLEGE/DEPT._____
1974-75 SPECIAL OPERATING EXPENSE INCREASES
COMMUNICATIONS EXPENSE*

DEPT. NAME	EXPENDITURE CODE AND EXPENDITURE TYPE	TOTAL AMOUNT

*Special increases only should be entered on this form. The need for the requested special increases should be fully documented in the written portion of your submission. The expenditure code within this category should be shown for detailed budgeting purposes. Totals from this page should be entered on Schedule 1, 1973-74 Summary of Asking Budget Increases.

DIVISION/COLLEGE/DEPT._____
1974-75 BUDGETED POSITION INCREASES
ALL POSITIONS LISTED IN PRIORITY ORDER

PT. NAME	TITLE OF POSITION	TYPE POSITION*	SALARY PER POSITION	NO. OF POSITIONS (FTE)	TOTAL ANNUAL AMOUNT	COLLEGE/ DEPT. PRIORITY
	TOTALS					

*Enter F for Faculty
C for Classified
N for Non-Faculty/Non-Classified

All new position requested for your department or college should be listed on this form in priority order. The total dollars and positions should then be entered on Schedule 1, Summary of Asking Budget Increases. If multiple positions of the same title are requested at the same salary, these can be shown in one entry, but should be listed as two entries in the priority column.

DIVISION/COLLEGE/DEPT. _____
1974-75 SPECIAL OPERATING EXPENSE INCREASES
TRAVEL*

DEPT. NAME	EXPENDITURE CODE AND EXPENDITURE TYPE	TOTAL AMOUNT

*Special increases only should be entered on this form. The need for the requested special increases should be fully documented in the written portion of your submission. The expenditure code within this category should be shown for detailed budgeting purposes. Totals from this page should be entered on Schedule 1, 1973-74 Summary of Asking Budget Increases.

Schedule 6

DIVISION/COLLEGE/DEPT. _____
1974-75 SPECIAL OPERATING EXPENSE INCREASES
SUPPLIES AND SERVICES*

DEPT. NAME	EXPENDITURE CODE AND EXPENDITURE TYPE	TOTAL AMOUNT

*Special increases only should be entered on this form. The need for the requested special increases should be fully documented in the written portion of your submission. The expenditure code within this category should be shown for detailed budgeting purposes. Totals from this page should be entered on Schedule 1, 1973-74 Summary of Asking Budget Increases.

DIVISION/COLLEGE/DEPT. _____
1974-75 SPECIAL OPERATING EXPENSE INCREASES
EQUIPMENT AND FACILITIES*

DEPT. NAME	EXPENDITURE CODE AND EXPENDITURE TYPE	TOTAL AMOUNT

*Special increases only should be entered on this form. The need for the requested special increases should be fully documented in the written portion of your submission. The expenditure code within this category should be shown for detailed budgeting purposes. Totals from this page should be entered on Schedule 1, 1973-74 Summary of Asking Budget Increases.

Schedule 7

DIVISION/COLLEGE/DEPT. _____
1974-75 SPECIAL OPERATING EXPENSE INCREASES
OTHER*

DEPT. NAME	EXPENDITURE CODE AND EXPENDITURE TYPE	TOTAL AMOUNT

*Special increases only should be entered on this form. The need for the requested special increases should be fully documented in the written portion of your submission. The expenditure code within this category should be shown for detailed budgeting purposes. Totals from this page should be entered on Schedule 1, 1973-74 Summary of Asking Budget Increases.

MRAP Task Force on Budget....EXHIBIT #4

EXPENDITURES FOR STUDENT ASSISTANTS' WAGES
QUARTERLY CUMULATIVE REPORT

1. Department or administrative unit:_____

2. Time covered by this report: July 1, 19__through_____

3. Allotment (including any adjustments):.....$_____
   Note: If allotment adjusted, please complete:
   Original:_____Plus/minus:_____

4. Amount spent since beginning of fiscal year:.....$_____

5. Amount spent since last report:$_____

6. Amount remaining in allotment (#3 less #4):.....$_____

7. Do you need more money than is left?_____If so, how much and why?_____

   _____

   _____

   If not, can you spare any money?_____Please comment:_____

   _____

   _____

8. Signature of person reporting:_____Date:_____

9. Approvals:_____(Title)_____Date:_____

   _____(Title)_____Date:_____

   _____(Title)_____Date:_____

10. Received in Library Office by_____Date:_____

11. Library Office action:

Note: The figure given in #3 should be the original total plus or minus authorized changes, e.g., $1800 if the original was $2000 and $200 was subsequently subtracted (see #7). The purpose of #7 is to guide the administrative officers in their efforts to meet needs. It is essential that question 7 be answered (except of course in the July 15 reports). In general, it is to be expected that 25 per cent will be spent in the first quarter, another 25 per cent in the second, and so on. Variations in administrative arrangements are provided for in #9; since the reports are due in the Library Office on the first business day following Oct. 14, Jan. 14, April 14, and July 14, it is essential that submissions up the line of command be so timed as to permit serious review.

Univ. of Md. Libraries, College Park - Administrative Form No. 5 - Feb. 11, 1969

REPORT OF THE
TASK FORCE ON
MANAGEMENT INFORMATION

Prepared by:

Margaret Byrd
Jean Burless Clarke
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Robert Pierson (Chairman)
Patricia Reap

INTRODUCTION

"Management information" is defined in the MRAP Manual (v.2, p. 184) as (1) *"the process of securing, organizing, and analyzing information for the use of those responsible for the operation of the library"* and (2) *"information that is required to measure the results of operations and to provide a basis for managerial control and planning"*. This Task Force interpreted the phrase broadly, going into the gathering and disseminating of information to facilitate all levels of operation. Lest the more specific interpretation be obscured, we should like, by way of introduction, to emphasize the importance of information in decision-making: decisions need to be supported by hard data, as decisions based upon impressions can seem (and indeed may be) political--and certainly not very impressive to those who control the purse-strings.

I. DESCRIPTION

The general views of the library system staff and administration on management information were inferred from the Needs Assessment Survey, the Organizational Profile, and the general interview with the Director of Libraries.

The Needs Assessment Survey results pointed out four areas of management information which the staff felt needed attention:

1. better communication between staff and management before decision-making
2. less use of statistics as the primary basis for evaluation of services, and more emphasis on quality
3. better communication between units
4. increased use of management information.

Unlike the Needs Assessment Survey, which surveyed middle and upper management, the Organizational Profile surveyed the entire staff. The questions pulled from this profile to be used by the Management Information Task Force were number 2 and number 7 (*"Do you think you get the information you need to do your job?"* and *"How do you view the information you get from other areas of the library system?"*). The overall score for number 2 was 77.6 per cent, and for number 7, 49.8 per cent. The comments summarized by those conducting this survey were: for number 2, references to occasional gaps, to having to dig for one's self; for number 7, references to variation depending on unit involved, to a habit of not giving out information.

The interview with the Director of Libraries revealed the following points of view on his part concerning the present management information system:

1. management information is created and flows upward to him

from all areas, and he relies on it as his main source of information as to what goes on in the library system

2. because of the work load of the Administration it is not always feasible to analyze the information received so as to make it apply to planning

3. it is difficult to make information received meaningful to the Campus Administration

4. library system statistics are important, but sometimes there is uncertainty as to whether all data are reported

5. annual reports are sometimes difficult to use, and this is an area where more instructions should be given

6. the Assistant Directors and the Head of the Undergraduate Library have primary responsibility for assembling and interpreting data regarding the units reporting to them. (The Director noted that the Council is studying staff participation in management)

7. Cabinet members play a major role in the flow of management information

8. useful sources of information on the user population are reports from the University's Office of Institutional Research and from its Counseling Center

9. efforts to analyze library system use in terms of purpose do not seem to have been practical

10. through the library system's Data Processing Department, information is available on the use of materials; projections of use have been made and used, and projections should be made and used more often

11. the balancing of books by the Data Processing Department is a vast improvement over the old system

12. various memo series maintain a flow of management information

13. there is variation in the speed and accuracy with which information flows

14. the library system's Equal Employment and Education Opportunity Committee is less active in management information than previously, when it collected data. The approach of the Campus Human Relations Office and Campus Personnel Office has changed, and the role of the Committee as part of the management information system has therefore changed

15. the Library Assembly has great potential for a role in management information

16. the Staff Alliance has similar potential

17. the Library Assembly and Staff Alliance have tended to concern themselves with personnel issues rather than with library operations as such.

A. Internal Management Information System

The internal management information system was revealed by the survey taken by the Management Information Task Force and by selected interviews. It was described for the most part as made up of statistics, reports, directives, personnel information, and meetings.

Within the categories of "generated" and "received," statistics, as reported, can be further categorized as:

1. materials (ordered, cataloged, borrowed, reserved, etc.) and records (*e.g.*, cards)

2. use of materials

3. attendance

4. financial

5. reference services

6. other.

Evaluation of statistics varied from useful and/or necessary to doubt as to the usefulness of statistics gathered. Doubt was often expressed as to the value of reference statistics as measures of quality, and questions were raised on the validity of bases of counting. With the exception of Technical Services, there was little statistical reporting of work by individuals. There were questions raised about decisions to maintain statistics, *i.e.*, whether those who generate them sometimes make decisions to do so without regard to what is needed by those who use the statistics. There was little reporting of gaps.

The major reports noted were financial reports, annual reports, and budget requests. Also cited were supply and equipment requests, student fund reports, reports on meetings attended, desk schedules, newsletters, and reports to academic departments. Annual reports generated by the various departments are said to be used in many different ways, and the ultimate recipient of them (the library system administration) expressed the need for coordination of information in the reports and the need for quidelines to follow when compiling them. The Director and the Associate Director noted that variety in format, excessive length, lack of interpretation, and inclusion of material belonging in other documents weakened the chance for effective use of these reports. The

use and value of budget requests was questioned, and the idea of a program budget instead of an item budget was suggested. Feedback from supervisors on budget requests was asked for. The Director and the Associate Director stated that the lack of clear guidelines from the University creates difficulty when they try to guide the departments in making budget requests.

Financial reports are produced by the library system's Data Processing Department weekly, and by the Campus Business Office on the 21st of each month. The Data Processing report is not, with present technology, completely up to date: there is a time lag between the time an order leaves the originating source and information relating thereto is fed into the computer. There are also complications in the system of inputting information to the Data Processing Department about funds encumbered for collections. There is a three-week lag in the Business Office report (it is for the preceding month); however, it provides a cross-check to the library system's own accounts. The statements by the Data Processing Department are received by appropriate staff members and are available at the weekly Cabinet meeting. The Director's concern is with the overall financial picture, while the Assistant Director for Technical Services is the control center. The Assistant Director for Automation Services is the library system official who keeps invoices, certifies the accuracy of records, and generally retains responsibility for the maintenance of the accounting operation. The Director controls the finances and the Assistant Director for Technical Services dispurses. The setting up of a position for a budget officer was viewed by the Director as not of immediate priority. However, he feels that this position would be helpful for scientific planning and budgeting in the library system. He noted that the current budget is a line item budget and that it would take considerable effort to relate costs to major library system functions.

Aside from the weekly financial (book fund) statement from the Data Processing Department, the library system administration maintains its own records on operation funds. These are compared with the Campus Business Office monthly statement, which covers book expenditures, payroll, and operations. The Director's secretary keeps a record of the amount of payroll for each pay period. The Business Office provides a balance. The Director thinks that any more accounting measures on the part of the library system would be a duplication of effort of the Business Office.

The Assistant Director for Automation Services would like to see the establishment of an accounting system that would provide a history of every book ordered and also perform financial analysis and cost studies which cannot be handled by the present system. The present computerized financial system from the Data Processing Department is restricted to cost information in terms of materials ordered. He would also favor the establishment of a position for a budget officer who would have authority as well as responsibility.

Directives described as vehicles of management information are the Administrative, Technical Services and Reader Services Memo Series;

procedural, staff, and student manuals within units and departments; departmental memos from supervisors, the library system administration, coordinators, etc. Directives generated outside the library system are used by the McKeldin Library's Interlibrary Loan Services, Loan Department, and a few other units for certain procedures (*e.g.*, operating the Singer terminals). In this Task Force's survey, evaluations often cited the need to update manuals. There were few gaps listed, and few evaluations were very critical.

Personnel records for the library system's staff which are part of the management information system are maintained in the individual departments and in the library system's office. With some duplication of files, these records are: application forms, performance evaluations, interview forms, duty schedules, leave records, handbooks of personnel practices, termination or separation papers, personnel folders, earnings and expenditure records, and job descriptions. There was dissatisfaction expressed about performance evaluations - their form, use, and value; about the inaccuracy of leave records distributed by the Campus Personnel Office; and about inaccuracies and misunderstandings related to eligibility lists.

Student assistant personnel information gathered and used includes application forms, evaluations, duty schedules, statements of rights and obligations, pay raise forms, attendance records, and student assistant quarterly expenditure reports. Some of these records are used universally, but others are used in only one or two units.

Additional sources of management information on personnel are generated by the Library Assembly's Selection Committees. The library system's administration considers their recommendations, but the final selection remains with the administration. The reports of these Committees are viewed by the library system's administration as very functional management information tools.

Various kinds of meetings were reported in the survey and interviews. They include Cabinet, Council, Library Assembly, department heads, reference librarians, general staff, and various departmental groupings. These meetings may be regular, irregular, or on call. Purposes cited for meetings were to inform, to lead discussion, to solicit staff reaction, and to orient new staff. Evaluations of meetings varied widely. Some were criticized as time-wasters, because discussions ranged too widely or because information could have been disseminated more effectively by other means. Other meetings were evaluated as helpful, necessary, essential to operations.

B. External Management Information

The external management information system can be described as made up of information on library users, information on the university, and published and unpublished information on library science and on other university libraries.

There was very little reported on routine means of obtaining information about users. Some methods used were:

1. memberships on University and academic department committees, boards, etc., some memberships *ex officio*, some by appointment, some by election

2. departmental bulletins and newsletters received, some through unofficial channels

3. limited use of University publications, *e.g.*, material from Dr. Goode's office

4. a few routine and a few sporadic surveys of user reactions

5. soliciting of user suggestions

6. circulation profiles produced by the library system's Data Processing Department, *e.g.*, books charged by user code

7. information in the Maryland Room, *e.g.*, the loose-leaf service (Statistical Fact Book) issued by the University's Division of Institutional Research.

Information on the University is especially available through the Archives maintained in the Maryland Room. The Archivist described the Archives as an input and storage system. Retrieval of archival material is through inventory pages, *i.e.*, tables of contents. Subject indexing is planned. Because of the confidentiality and the form of some material, the Archivist does not expect a self-service operation to develop. The currency of information in the Archives varies, in that material is usually placed in the archives when it is "closed", *i.e.*, when action is completed. If material is needed before it is deposited, the Archivist can refer users (including staff) to proper sources. She also explained that she can offer assistance in gaining use of material not kept in the Archives. The Archivist's suggestions for management information use of the Archives were:

1. for the history of analogous situations

2. for information on State and University laws, policies, etc.

3. for a feeling for the environment, a general sense of what is happening at the University

4. for files of University publications, *e.g.*, Diamondback, Précis, Alumni News, etc.

5. for access to Staff Alliance, Library Assembly, and University Senate records.

External management information is available in the McKeldin Library General Reference Room in two general categories: (1) vertical file material and (2) books and periodicals. The former comprises newsletters from library associations, library and staff association newsletters, library handbooks and user guides, and annual reports. For the most part these materials are collected from members of the Association of Research

Libraries. The second category comprises items ordered under the policy of acquiring information to support the work of the library system, *i.e.*, not purchased to support course work. Periodicals form a large portion of this category, with access through Library Literature. Library Technology Reports, Library Science Abstracts, and other reference works support the collection. The McKeldin Library General Reference Librarian indicated that suggestions for acquisitions are welcome from the library system's staff. She also indicated that the collection does not receive the use it has the potential of receiving. The room has not been charged with the responsibility of actively disseminating literature to different areas or personnel in the library system; the only on-going activity of this kind is the circulation of contents pages of current journals. Annual reports and various other items are received in the library system office and routed through the Cabinet to the appropriate reference areas. However, the bulk of this material and the administrative work load combine to prevent its being used as fully as it should be, according to the library system administration.

II. ANALYSIS

As suggested by the survey taken by the Management Information Task Force, many people in positions of managerial or supervisory responsibility are unaware of the full intent and scope of a management information system. There was considerable variation in amount reported, in fullness of treatment, in reporting of use made, etc. Not everyone reporting seemed to have come to grips with information transfer in horizontal, upward, and downward directions.

Both supervisors and supervised indicated (cf. the Organizational Profile) that there is insufficient information exchanged within the library system. Some questions needing exploring and answering are these:

1. are decisions made without full information?
2. does management always impart and solicit information?
3. do managers always use the information they receive?
4. what gives rise to barriers across which information fails to flow?
5. how can cross-communication be improved?

In contrast to training information, which is rated high, information concerning other units is rated insufficient. Inadequate orientation is probably a factor, but is not necessarily the main reason. As in any system, basic information must be supplemented by an accurate updating system. The importance of information concerning other units cannot be overrated. Moreover, information as to why something is done is as important as is information as to how. A cohesive system depends upon just such informational glue.

The role of line officers is extremely important. The success of a management information program tends to hang very much upon their candor

and upon their consciousness of management information and its possible uses. There is a great need for more dispersal of information. Users of information should decide what they need, and they should contribute to decisions as to whether they are to receive it. Producers of information should not be the sole judges of who needs and of who is to receive.

A. Internal Systems

Recording and compilation of statistics and submission of reports are two areas which are generally not standardized. There is lack of uniformity among parallel units in recording events, in reporting findings, and in interpreting findings. Except for guidelines for budget requests, there is a lack of guidelines.

Generation of budget requests approximately fifteen months in advance of receipt of working budgets presents problems not only in estimating needs and costs but in analyzing goals and objectives. The usefulness of budget requests was increased when guidelines were established. Lack of understanding of the purpose of annual reports is illustrated by the fact that some operating units seem to regard them as just another chore, while others use them as opportunities to evaluate progress, to plan, and to propose change. Weaknesses also relate to variety of format, lack of interpretation, and inclusion of materials belonging in other documents.

The system of reporting financial information, as it now stands, appears to feature no method by which cost accounting is readily accomplished. Cost effectiveness of the work of areas apparently cannot be established--except possibly for Technical Services, where there is reporting of work by individuals. The budgetary process is also hindered by the lack of a budget officer who would unify the budget process and make or standardize rules and procedures. While the present system is fairly effective, it would be simplified and made more responsive to needs were allocation, maintenance procedures, expenditure recording, etc., under one individual.

To turn to directives: there were, in the survey returns, what appeared to be inconsistencies in the use of material generated and received, but these inconsistencies may not have existed in fact, and the evaluation of this sub-system is therefore difficult. Part of the problem may be a lack of understanding of what management information is, how it is used, and how it could be used better.

Procedural manuals and flow charts were (where available) often reported to be out-of-date. There was little mention of receipt of directives originating outside the library system. Lack of critical evaluation of directives raises the questions of whether there exists a system for evaluating directives and whether, once established, directives are regularly reviewed.

Study of personnel information suggests that more attention needs to be paid to information about and for student assistants. Each unit appears to handle its student assistants separately, once they are hired, and exchange of information that might benefit student assistants and

units is apparently non-existent.

Great dissatisfaction exists on the part of classified employees and their supervisors with regard to the current performance evaluation system for classified employees and with regard to leave slips. Both of these originate in the Campus Personnel Office. Another problem relates to eligibility lists (also from Personnel), specifically, the lag in adding names and the ease with which names are dropped--and an apparent lack of understanding on the part of staff as to how eligibility lists are used. These are surely areas needing work.

Many librarians seem to be dissatisfied with the present means by which their performances are evaluated. Forms which reflect more accurately what librarians have achieved seem necessary, along with guidelines that will make the evaluation process uniform throughout the system. Instruction is needed in evaluation techniques. Two questions arise:

1. should standards of professional performance be established--and, if so, what?

2. how are--or should--associate staff evaluations be employed in determining annual salary increments?

Some problems which seem to arise in the administrative offices of the library system are not the administration's fault. Policy making in Campus Personnel Office is slow and sometimes unsure, because of (it appears) lack of knowledge of what the University or the State expects, *e.g.*, charging for "snow days". In many instances, when the library system has requested information from the Campus Personnel Office on recent State decisions (reported in the press), it has turned out that Personnel had not yet received directives from the State and that local applications of rulings had yet to be determined.

Staff meetings seem to achieve less than they should, *i.e.*, as management information systems. In many instances, coverage is too broad: this tags meetings as time-wasters. Time is spent in the dissemination of information better dispensed otherwise. Yet a frequent complaint is that not enough information is circulated. Not "more meetings" but "better meetings" is the answer--and meetings featuring preparation and follow-up (*e.g.*, agenda and minutes), with accounts of more important meetings circulated regularly, as Council meeting minutes are now. This will insure that information will flow and that ideas will circulate, will not be distorted, and will not be forgotten. Indeed, all meetings should generate records, if only to jog someone's memory.

B. External Systems

Although there are a few established mechanisms for obtaining information about users, most information gathered is dependent upon the energy of individual librarians and the willingness of individual outsiders to dispense information. That is, there are few instances of formal, established means of receiving information about current acitivities of "user groups." All too often, such information is gathered only

when specific needs arise--not in connection with regularly established procedures on the library system's part to discover the truth about those whom it is supposed to serve. Failure to explore available resources is quite evident: even when information is available and disseminated, it is not always used or, it appears, seriously considered when decisions are made.

Another resource insufficiently exploited is the Maryland Room. This unit can respond to management information questions by providing answers or by directing individuals to Campus sources most likely to provide answers. Its service would, if properly exploited, save energy on the part of people seeking information. Retrieval is, however, very dependent upon the Maryland Room staff's knowing where information would most likely appear. The projected subject index should help a great deal.

Part of the problem of using the Maryland Room as a management information resource rests on defining responsibilities. How much time ought the Maryland Room staff contribute to management information service? What priority ought management information service have in the Maryland Room scheme of things? Should there be a direct charge to the Maryland Room? Surely these questions should be explored so that the best possible use can be made of this valuable resource.

Turning to the library science collection housed in and serviced by the McKeldin Library General Reference Room--again, an underutilized resource. The General Reference Room lacks a charge actually to disseminate (not merely collect and make available) information to library system personnel other than to circulate copies of contents of current periodicals. One problem here and in the Maryland Room is that of publicizing the availability of information and encouraging people to use it. Should the charge to the General Reference Room be expanded to include its doing more in the way of disseminating information? It might, for example, prepare a monthly list of new library science books received. This suggests a need to achieve a balance of responsibility--the General Reference Room's and the individual's. One possibility would be to assign to the room staff a library literature specialist one of whose duties would be to provide in-depth reference service to library system management.

III. RECOMMENDATIONS

A. General Approaches

This Task Force recommends:

1. that formal means be considered for decision-making which will help decision-makers, caught up in pressures, to remember to check all possible sources of pertinent information

2. that the generation and dissemination of information be considered a part of work, not a desideratum that one gets around to when one's "real" work is done; that in giving out information --at whatever level, to whatever level--the philosophy be "Tell them what is, and tell them what may interest them," not "Tell them only what you are absolutely sure they must know"; and that staffing reflect the fact that giving out information takes time and talent

3. that the library continue to use written communication to strengthen informational flow (as exemplified by Council minutes) thereby reducing the chance of ideas getting lost or distorted as they move up, down, or crosswise

4. that there be more coordination of parallel units, *e.g.*, the various reference departments and reference units, for the sharing of information

5. that responsibility for developing a comprehensive management information system be assigned. It might, for example, be assigned to a consultant, who would work with the library system a few weeks, returning periodically to evaluate progress. Eventually, should there be enough work on a year-round basis to justify it, there might be appointed a management information officer whose duties would be to coordinate management information systems, to assist management in gathering and using information, and to educate the staff in management information; there might be an advisory body whose charges would include (a) to arbitrate disputes concerning information generation and dissemination and (b) to evaluate and make recommendations concerning proposals relating to management information

6. that a guide to management information available throughout the library system be developed and maintained, bringing out the information available from each library unit.

B. Recommendations Relating to Internal Systems

1. Statistics, reports, and financial reports:

This Task Force recommends:

a. that a committee study statistics both as maintained within the lines of command and as maintained in parallel units in order to determine:

i. whether all needed counting is done

ii. whether counting bases are valid

iii. whether parallel counting is similar

iv. whether cumulating practices are appropriate

v. whether unnecessary counting is done, specifically, whether all those receiving statistics want and use them

vi. whether sampling might, in some situations, be substituted for recording all instances

vii. whether potentially useful statistics are used.

Special emphasis is needed upon measures of success and failure, *i.e.*, performance standards. Moreover, statistics are needed to support cost/benefit studies.

b. that there be continuing study of measurement of quality of performance, with specific reference to reference service but in other areas as well, with recognition that it may not be possible to quantify everything and, if so, that that fact be duly recognized

c. that the Data Processing Department and appropriate committees work with the operating units to explore the possibility of further developing the automated system, with data fed in easily and various outputs possible, making not only for more analysis but also for more uniformity and comparability

d. that clear indications of purpose and clear guidelines for writing reports be established by persons and units to whom reports are submitted

e. that systematic response to reports be established

f. that written reports of decisions of major policy-making bodies be circulated

g. that there be written reports (based on guidelines stressing application to the work of the library system) made available on outside meetings attended by staff members--including library system representatives to University committees

h. that there be contralization of policy, procedure, and implementation of the budgeting process through a budget officer, one of whose duties would be to obtain grant and foundation support

i. that there be a written clarification of the present accounting system and that it be followed by solicitation of and response to questions.

2. Directives:

This Task Force recommends:

a. that all levels of management be trained in the development and use of flow charts and procedural manuals

b. that all levels of management be kept aware of existing directives; that all staff be aware of and familiar with directives which apply to them; and that all directives be kept current.

3. Personnel:

This Task Force recommends:

a. that an *ad hoc* committee be asked to study student assistant personnel policies and procedures (job descriptions, payroll records, attendance records, evaluations, etc.), and how to facilitate communication among supervisors concerning student assistant problems--and that it particularly study the possibility of a student assistant manual outlining duties and responsibilities and comparable to the classified and associate staff handbooks

b. that a new classified staff performance evaluation system relevant to library work be formulated, with the approval of the Campus Personnel Office sought for its implementation

c. that a new associate staff performance evaluation system be developed, with input from all associate staff levels, specifically, that it direct attention to the achievement of goals

d. that job descriptions be provided for all positions and be updated regularly

e. that the Campus Personnel Office be urged to produce accurate leave records and up-to-date eligibility lists and that an effort be made to accelerate the flow of personnel information to the library system from the State *via* the Campus Personnel Office

f. that a concerted effort be made to improve orientation, not just of new staff but, as changes occur, of <u>all</u> staff.

4. Meetings:

This Task Force recommends:

a. that those planning meetings give thought to their potential as management information tools, specifically, (1) not use them where other methods would be more efficient and (2) give thought to preparation, *e.g.*, announcements of agenda, and follow-up, *e.g.*, minutes

b. that appropriate groups consider frequency, size, regularity, etc., of meetings--and also consider whether perhaps training in conduct of meetings should be considered an aspect of the development of supervisors.

C. <u>Recommendations Relating to External Systems</u>

This Task Force further recommends:

1. that the Vice-Chancellor for Academic Affairs be urged to establish policy requiring the inclusion of librarians in appropriate bodies, *e.g.*, divisional and professional school councils; and that the library system strive to establish routine dissemination of newsletters, announcements of personnel changes, etc., from academic units to appropriate library system units

2. that at the same time, and with due recognition of the value of such support as is indicated above, the responsibility of librarians to initiate contacts with user groups be made clear to them, one hope being that their efforts might lead to the establishment of formal mechanisms rather than merely personal relationships which dissolve with the departures of parties thereto

3. that receipt of suggestions be continued and perhaps refined and that the possibility of more thorough and more continuing coverage of user opinion be studied

4. that better and more extensive use of circulation profiles be developed

5. that the staff be educated in regard to the existence and use of documentation relating to the University, specifically, that the Archives be publicized and their potential value to all levels of library system management be described to the end that this storehouse and switching center not rust in idleness--or, more to the point, to the end that library system management not operate in ignorance of its past and present environment; further, that subject indexing and/or other means of enhancing retrievability of Archival materials be encouraged, and that the status of the library system's own archives be clarified (*i.e.*, what is in the Maryland Room and what is elsewhere, what may be consulted by whom and with whose permission, etc.)

6. that special attention be given to the problem of securing very recent information regarding the University, including the current state of planning

7. that the role of the McKeldin Library General Reference Room as a library for library system management be developed--to various degrees:

    a. with the General Reference Room disseminating information about the collections under its purview, with staff suggestions for purchasing encouraged, with "non-circulating" material available on overnight loan, with those seeking management information encouraged to ask for assistance rather than limit themselves to searching techniques with which they are personally familiar; or perhaps

b. with--and this suggests a more active role for the McKeldin Library General Reference Room--General Reference charged with the responsibility to make literature searches and to keep library system units aware of currently available material by circulating copies of bibliographies, articles, and abstracts; or perhaps even

c. with a research and development office formed incorporating the above responsibilities and adding to them "documentation" in the fullest sense.

REPORT OF THE TASK FORCE ON ORGANIZATION

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ORGANIZATION

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2. Undergraduate

3. Engineering and Physical Sciences

4. Chemistry

5. Architecture

B. Library Organization

1. Administration

2. Technical Services

3. Collections

4. Data Processing

5. Reader Services

6. Undergraduate Library

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I. DESCRIPTION

A. Library Facilities

The Architecture Library is located in the east side of the Architecture building (ARC). The Library consists of one floor and a mezzanine. In addition to stacks, the Library contains a work room, office, circulation area, and a periodical display area. The Library has a seating capacity of 50 and a book capacity of 18,000.

The Chemistry Library is located in the Chemistry building, but will shortly be moved to the new Bio-Chemistry wing. The new Library will consist of three levels: the main floor will contain reference materials work rooms, a charge desk,and display shelving for journals; the lower levels will contain a microfilm room, a bound journal room, a study area, a Xerox facility, circulating book stacks and carrells. The new Library will have a seating capacity of 190 and a book capacity of 75,000.

The Engineering and Physical Sciences Library occupies three floors in the north wing of the Mathematics building (Y). The Library contains stacks, carrells, lockers, private studies and conference rooms. In addition, it contains a loan area, serials and acquisitions areas, two reading rooms, and sections for current journals and technical reports. The seating capacity is 650 and the book capacity is 200,000.

The McKeldin Library (building L) consists of four floors and three mezzanines, in addition to a bottommost level. Six main reading rooms are located in the Library: General Reference and Humanities on the second floor, Social Sciences and Technology and Science on the third floor, and Fine Arts and the Maryland Room on the fourth floor. The Library also houses five departments which service the entire library system: Data Processing (bottommost level), Serials, Acquisitions, and Catalog (first floor), and the Administrative Offices (second floor). The seating capacity of the Library is 2,000 and the book capacity is 1,000,000.

The Undergraduate Library (building ULB) consists of five floors: the bottommost level contains the Reserve Room, the first floor contains both Reference and Circulation Services, the second floor houses Periodicals and Microforms, and the third and fourth floors contain Technical Services and Nonprint Media. Stacks are located on all floors. The seating capacity is 4,000 and the book capacity is 200,000.

B. Library Organization

The library system on the College Park campus consists of the McKeldin Library, the Undergraduate Library, and the Architecture, Chemistry and Engineering and Physical Sciences Libraries.

1. General Administration

The organization of the system is hierarchical, headed by the

Director of Libraries who reports to the Vice-Chancellor for Academic Affairs. The Director is responsible for the overall operation of the system. Reporting to him are the Associate Director, the Assistant Directors for Technical Services, Reader Services, Collections and Automation Services, and the Head of the Undergraduate Library.

The Associate Director acts for the Director in the latter's absence. He is responsible for the areas of professional personnel, physical maintenance of the McKeldin Library, and planning and purchasing for the library system.

Reporting to the Director and Associate Director is an Administrative Assistant who functions as the personnel officer for classified employees and student assistants and as the public relations officer for the library system.

The administrative office staff of four classified employees is responsible for secretarial support to the Director, Associate Director, and Administrative Assistant, and for the leave records and payroll for the library system.

The Assistant Director for Technical Services is responsible for the acquisition, cataloging, and processing of materials for the library system and for the monitoring of the book budget.

The Assistant Director for Collections is responsible for the acquisition, development, and maintenance of special collections, and for the overall development of collections in the library system.

The Assistant Director for Automation Services is responsible for automated support services for the library system and limited automated support services to members of the Maryland Academic Libraries Center for Automated Processing.

The Assistant Director for Reader Services is responsible for the facilities which provide service to the public, with the exception of the Undergraduate Library and Collections, and, in conjunction with the faculty, for the basic development of the collections in the McKeldin, Engineering and Physical Sciences, Chemistry, and Architecture Libraries.

The Head of the Undergraduate Library is responsible for the Undergraduate Library building, services, and collections.

2. Technical Services

Technical Services consists of the Acquisitions, Catalog, and Serials Departments, and the First Search Unit. The head of each of these reports to the Assistant Director. In addition, there is a Coordinator of Technical Services who reports to the Assistant Director, acts for the Assistant Director in his/her absence, and is responsible for the interdepartmental work flow

among the three departments.

The Catalog Department is divided into three sections: original cataloging, bibliographic control, and processing. It is responsible for the cataloging and processing of all monographic materials for the library system, as well as for the College of Library and Information Services Library and University College, and for the maintenance of the union catalog and shelf list. With the exception of the Engineering and Physical Sciences and Chemistry Libraries, it processes binding for the facilities listed above. Staff: 15 associate, 30 classified.

The Acquisitions Department is divided into three sections: the order unit, the advance search unit, and the holding unit. It is responsible for the placement of monograph orders, the receipt of materials, and the processing of bill payments for the library system, and for the College of Library and Information Services Library and University College orders processed through Technical Services. It is also responsible for the receipt and distribution of mail for the McKeldin Library. Staff: 7.5 associate, 11 classified.

The Serials Department is divided into two sections: serials acquisitions and serials cataloging. It is responsible for the ordering, cataloging, and bill processing of serials for the library system and the College of Library and Information Services Library. It is also responsible for the maintenance of the series authority file. Staff: 7 associate, 19 classified.

The First Search Unit has two functions: to search monograph order requests preliminary to ordering, and to search for cataloging copy for material received. The staff reports to the Coordinator of Technical Services. Staff: 6 classified.

3. Collections

Collections is divided into three departments: Maryland Room, East Asia, and Special Collections and Porter Room.

The Maryland Room is responsible for the development and maintenance of collections in Marylandiana and the University Archives and serves as a depository for Maryland state documents. It also

provides reference service in these areas. Staff: 3 associate, 4 classified.

East Asia is responsible for the maintenance of the "American Occupation of Japan" collection and the acquisition and cataloging of general materials in East Asian studies. It also provides reference service in these areas. Staff: 3 associate, 2 classified.

Special Collections has responsibility for the Katherine Anne Porter Room, and for the development and maintenance of the rare book and other special collections. It also provides reference service in these areas. All Special Collections materials are non-circulating. Staff: 2 associate, 1 classified.

4. Data Processing

The Data Processing Department is divided into two sections: operations maintenance and user services, and systems and programming.

Operations is responsible for the maintenance of existing automated systems, routine changes in programs, data control, and computer operations. Staff: 1 associate, 19.5 classified.

Systems is responsible for planning and dedevopment of new systems or the extension of existing systems. Staff: 4 associate, 2 classified.

5. Reader Services

Reader Services is divided into five departments: Engineering and Physical Sciences Library with its branch, the Chemistry Library; McKeldin Library Loan; McKeldin Library Reference; McKeldin Interlibrary Loan; and Architecture Library. Reader Services is responsible for user-oriented services: reference assistance, lending and borrowing of material needed by users, and development and maintenance of collections for the library system, excepting the Undergraduate Library and Collections.

McKeldin ReferenceServices consists of five subject reference rooms in the McKeldin Library, headed by a Coordinator. The subject reference rooms are: General Reference, Humanities Reference, Social Sciences Reference, Technology and Science Reference, and Fine Arts Reference. Reference Services is responsible for reference assistance to users and user guidance and guidance and orientation,

as well as for the development and maintenance of the reference collections. The reference room heads review incoming faculty orders for additions to the basic collection. Each reading room is responsible for course reserves in its subject areas. Total staff: 17 associate, 17.5 classified.

General Reference is responsible for the development and maintenance of the reference collection of general materials (*e.g.*, bibliographies, newspapers, etc.) and specialized areas not covered by other subject rooms (*e.g.*, library science, geography, etc.). It is also responsible for reference assistance and maintenance of current periodicals in its subject areas. Staff: 3.5 associate, 3.5 classified.

Humanities Reference is responsible for reference assistance in the humanities and the development and maintenance of the humanities reference collection, as well as the Browsing Room, a recreational-reading collection in all subject areas. Staff: 3 associate, 2 classified.

Social Sciences Reference is responsible for reference assistance in the social sciences and the development and maintenance of its reference collection. It is also responsible for the maintenance of the U. S. Government Documents Depository Collection. Staff: 5 associate, 4 classified.

Technology and Science Reference is responsible for reference assistance in technology and science, agriculture and life sciences, and development and maintenance of its reference collection. It also houses agricultural experiment station and extension service publications. Staff: 2 associate, 3 classified.

Fine Arts Reference is responsible for reference assistance in art and music and for the development and maintenance of its reference collection. Staff: 2.5 associate, 4.5 classified.

McKeldin Library Interlibrary Loan is responsible for interlibrary loan services for the McKeldin Library only. This Interlibrary Loan office is also the contact point for the Maryland State interlibrary loan network.

Staff: 1 associate, 2.5 classified.

The McKeldin Library Loan Department is responsible for circulation of materials, stack maintenance, and building security for the McKeldin Library. It is also responsible for personal reserves and cash transactions. Staff: 2 associate, 17.5 classified.

The Architecture Library is responsible for reference assistance in architecture and for the development and maintenance of its collection. Staff: 1 associate, 1 classified.

The Engineering and Physical Sciences Library (EPSL) is divided into four sections: administrative, reference services, loan, and EPSL interlibrary loan. Staff: 6 associate, 10.5 classified.

Administration is responsible for general administration of EPSL and coordination of services with the University, faculty, and the rest of the library system.

Reference Services is responsible for reference assistance to users of reference works, serials, or technical reports. It is also responsible for user guidance and orientation, and collection development for EPSL.

Loan is responsible for circulation of EPSL materials, personal reserves, and course reserves.

Interlibrary Loan is responsible for interlibrary loans for EPSL and the Chemistry Library.

The Chemistry Library is a branch of the Engineering and Physical Science Library. It is responsible for the development and maintenance of collections in chemistry and biochemistry and provides all reader services. Staff: 1 associate, 1 classified.

The Undergraduate Library (UGL) is divided into four sections: administration, nonprint media, circulation, and reference services.

Administrative Services is responsible for general administration of the Undergraduate Library, coordination of services with the University, faculty, and the rest of the library

system, and collection development for the Undergraduate Library. Staff: 2 associate, 2 classified.

Nonprint Media Services is responsible for development and maintenance of the nonprint collection for the library system. Staff: 2 associate, 4 classified.

Circulation Services is responsible for the circulation of Undergraduate Library materials, stack maintenance and personal and course reserves. Staff: 2 associate, 15.5 classified.

Reference Services is responsible for reference assistance to users and user guidance and orientation. Staff: 7 associate, 2 classified.

C. Advisory Bodies

There are several advisory bodies which exist both within and outside the library organization. Within the organization these are:

1. the Library Cabinet which consists of the Director, the Associate Director, the Assistant Directors, and the Head of the Undergraduate Library. The Cabinet meets weekly

2. the Library Council which consists of the Cabinet members, the Coordinators of Technical Services and Reference Services, Heads of Departments, the Head of the Engineering and Physical Sciences Library, and two elected representatives from the Library Assembly. The Council meets monthly

3. the Library Assembly which is the organization of professional personnel in the library system, that is, associate staff. The Assembly has standing committees on professional development, conditions of employment, library development, orientation, by-laws, appointments, and nominations and elections. The Assembly meets bi-monthly

4. the Staff Alliance which is a quasi-official body composed of all staff members who opt to join. There is a yearly membership fee. Meetings are usually held monthly.

5. *ad hoc* committees. At present these are:

   a. Committee to Formulate Book Selection and Collection Development Policies

   b. Circulation Coordinating Committee

c. Advisory Committee on Library Automation.

Advisory bodies outside the library organization include:

1. the Senate's Adjunct Committee on Libraries and Instructional Aids, which is composed of an appointed presiding officer, two faculty members from each of the University's academic divisions, one librarian, two undergraduate students, and one graduate student, and the Directors of the Libraries and of the Computer Science Center. It meets irregularly.

2. academic division committees. None exist except for the Mathematical and Physical Sciences and Engineering Division's Adjunct Committee on Libraries. This Committee is composed of an appointed Chairman, the library representatives from each department or institute, two undergraduate and two graduate students, one elected librarian, and one *ex officio* representative from the Office of the Provost. It meets irregularly.

3. *ad hoc* committees, *e.g.*, the University's Advisory Committee on Library Automation, composed of members from Office Services, the library system, the Computer Science Center, and CLIS.

D. Libraries Partially Supported by the System

1. College of Library and Information Services (CLIS)

The CLIS Library was formed simultaneously with the creation of the School of Library and Information Services in 1965. At present the Library has a staff of 2 librarians, 1 library assistant and 4 FTE students. It has a collection of 14,000 monograph and 340 bound serial titles in library science, as well as the 8,000 volume juvenile collection. Library hours are 8 a.m. to 10 p.m. Borrowing privileges are available to anyone with a valid transaction card. Support for this Library is divided between the College and the library system, although the CLIS Library staff reports only to the Dean of the College.

2. University College

Books used in the University College programs are purchased through funds provided by the College, but are ordered, cataloged, and processed by the library system and form part of the McKeldin Library collection when not in use by the College. The University College Librarian reports to the Dean of the College.

E. Libraries Outside the System

There are many libraries which operate outside the official library

system. These are:

Agricultural Economics
Animal Sciences
Astronomy
Botany
Botany - Herbarium
Bureau of Business and Economic Research
Bureau of Governmental Research
Computer Science
Education
Entomology
Geography
Physics Preprint Library
Veterinary Science
Wind Tunnel

Rather than describe each library, we describe two representative libraries below.

1. Bureau of Business and Economic Research Library

The Bureau of Business and Economic Research Library is a collection of an estimated 2500 volumes plus selected journal titles. The Library is supported in part by State funds and in part by the University's Division of Behavioral and Social Sciences. Borrowing privileges are restricted to graduate students and faculty of the Bureau and of the Department of Economics. Library hours are University office hours. Staff: 1 student assistant.

2. Computer Science Library

The Computer Science Library was begun as a by-product of the creation of the Computer Science Center in 1962. At present the Library has a staff of two librarians and a collection of approximately 3,000 monograph titles, 150 periodical titles, 3,000 technical reports, a program library, and user's manuals. Library hours are 9 a.m. to 9 p.m., Monday - Friday. Borrowing privileges are restricted to members of the Department of Computer Science and the Computer Science Center. Other people have access to the collection, but must use the materials on the premises. Support for the Library is divided between the Department of Computer Science and the Computer Science Center.

II. ANALYSIS AND EVALUATION

A. Managerial Style

This Task Force studied Likert's table "Organizational and Performance Characteristics of Different Management Systems Based on a Comparative Analysis"* The table categorizes systems of organization according to operating characteristics. Likert characterizes systems as either authoritative or participative. He subdivides these into four types: exploitative authoritative, benevolent authoritative, consultative, and participative group. The operating characteristics used in defining the types of organization are:

1. character of motivational forces
2. character of communication process
3. character of interaction-influence process
4. character of decision-making process
5. character of goal-setting or ordering
6. character of control processes
7. performance characteristics.

After studying the table and interpreting the behavioral characteristics as they apply to this library system, this Task Force sees the present organization as "benevolent authoritative', with some leanings toward "consultative".

B. Internal and External Forces at Work

1. External Forces

External forces working toward change include:

1. closer involvement of the University with the library system through such means as a senator from the library system, library system representation on the Senate's Adjunct Committee on Libraries and Instructional Aids, library system representation on Committees for Programs, Curricula and Courses, etc.
2. a trend toward unionization of library staffs, especially clerical staffs
3. the recent reorganization of the University, which suggests a need for an organizational response from the library system.
4. MALCAP. The library system as the center of MALCAP's computer operations, benefits from the demands of this organiza-

* For table, see p. 175

tion both in terms of services which can now be offered to our system and in future developments which will require financial support from the state and from other institutions to be economically feasible.

External forces working against change include:

1. lack of formal, regular and defined communication with the University Administration

2. budgetary constraints and continued inflation

3. changing patterns of enrollment

4. legislative apathy and/or antagonism.

2. Internal Forces

Internal forces working toward change include:

1. management open to change - as evidenced by MRAP, for example

2. changing roles of the Library Assembly and Staff Alliance, which indicate that the staff is willing to initiate and take responsibility for effecting changes.

Internal forces working against change include:

1. the concept of the McKeldin Library as <u>the</u> library and the other libraries as branches

2. the feeling of exclusivity shown by some units which creates competition between units rather than a coordinated striving toward <u>system</u> goals

3. lack of flexibility in job assignment within large areas, *e.g.*, Reader Services.

C. <u>Observations on Present Organizational Structure</u>

The organization of the library system is, with some exceptions, good. The basic concept of dividing the organization along functional lines, *e.g.* public services, is sound. The concept and organization of Technical Services as a support unit for Reader Services is sound, as is the concept of Data Processing as a support service for the library system as a whole.

This Task Force observed the following:

1. whereas there are clearly designated Heads of the Undergraduate, Engineering and Physical Sciences, Chemistry and Architecture Libraries, there is no such functional office in the McKeldin

Library. Responsibility for this Library (not considering system services) is divided among the Director, the Associate Director, and the Assistant Directors for Reader Services and Collections.

2. in areas where there is a clearly designated head, there is frequently not a designated assistant head or administrative assistant who can function as acting head in the head's absence. (For example, it is not clear who is in charge of the Data Processing Department when the Assistant Director for Automation Services is away.) In such cases, necessary decision-making is often delayed because of the lack of clear designation of authority.

3. some like activities are not grouped together, *e.g.*, Collections and UGL are both inherently reader service operations, but are not included in the system's Reader Services Division. In addition, the McKeldin Library Interlibrary Loan, Browsing Room, and Reserve Books are inherently loan operations, but are not included in the McKeldin Library Loan Department

4. the library system's organization should reflect the changed structure of the University. For example, the Engineering and Physical Sciences Library serves one complete academic division, the McKeldin Library serves two complete divisions and parts of two others, while the Chemistry and Architecture Libraries each serve a part of a division

5. in view of increasing overlapping of what were once distinct fields, the existence of multiple reference rooms and reserve collections in the McKeldin Library is confusing to both users and staff. In addition the use of subject reference rooms in the McKeldin Library appears to have resulted in an inefficient use of human and physical resources

6. the control of the Coordinator of Reference Services is limited to five subject reference rooms in the McKeldin Library. Thus there is no coordination of reference services for the system

7. control of the development of the library system is affected by the accelerating trend of the creation of small libraries, each serving only one department. When part of the system, these libraries foster dual reporting and funding and conflict of interests; when outside the system, the library system has no control over them at all. Furthermore, libraries outside the system operate with funds which might better be used for development of the library system

8. there seems to be an over-emphasis on line reporting, resulting in too few decisions being made at appropriate levels

9. the undefined role and responsibility of both the Cabinet and the Council fosters uncertainty about where and by whom decisions should be made.

10. the present organization does not indicate where the overall responsibility for library instruction and/or public relations lies

11. the roles, functions, and responsibilities of the directors are unclear, and supportive administrative assistance is not consistent

12. in comparison with libraries of comparable size, growth rate, etc., there seems to be a disparity in the number of staff in relation to the size of the collection which suggests that we may be overstaffed. This observation is based on a review of the Association of Research Libraries' Academic Library Statistics 1972/73

13. Responsibility for collection development is not clearly defined. Collection development is spread unevenly between librarians and the faculty, with some contributions being made by the Assistant Director for Collections

14. because of multiple locations of serials in the McKeldin Library, duplicate record-keeping is necessary. Serials are checked in in the Serials Department and again in the subject reference room to which they are sent

15. in some areas the number of staff seems appropriate, but the librarian-classified staff ratio appears questionable, with an overabundance of librarians.

III. RECOMMENDATIONS

This Task Force recommends that:

1. the interaction between the Director of Libraries and the University Administration be strengthened, especially in the area of planning. He, or his representative, should be an official member of the appropriate University planning bodies

2. the roles and responsibilities of advisory bodies within the library system be clearly defined and documented

3. a standing Planning Committee be appointed. The Committee should have a permanent membership of the Cabinet, the Budget-Planning Officer, the Personnel Officer, and appointees as needed. It is further recommended that classified staff representation be included in the membership of the Committee

4. an *ad hoc* Committee be formed to study the size and distribution of the library system staff in relation to the system's functions and goals, with particular emphasis on the study of duties performed by librarians which could and should be assigned to classified staff

5. every unit should provide for clearly designated responsibility in the absence of an Associate Director or Head of the unit. This responsibility could be assigned to either a staff position or a line position, depending on the circumstances of the unit

6. an *ad hoc* Committee be formed to study the proliferation of libraries outside or partially supported by the library system and the effect it has on library service. This committee should be chaired by a librarian from within the system and its membership should include representation from each of the University's academic divisions as well as representation from top University Administration

7. the responsibility for collection development be clearly defined. The roles of the library representatives and librarians should be reversed as related to collection development, with librarians assuming the major responsibility in this area

8. a single periodical room be considered in the McKeldin Library, perhaps as described in the proposal outlined in "Division of Reader Services: Budget Request 1975-76", which is attached as Appendix I

9. there be regular review and evaluation of the organization. This could be done by an *ad hoc* committee at appropriate intervals, *e.g.*, every three years

10. the library system seriously consider reorganization. The implementation of this recommendation, interim and long-range proposals for reorganization, is (with respect to the long-range proposal) contingent on the library system administration's receiving a firm commitment from the University Administration of its intention to adhere to its stated policy of centralization of services. The recommendations involve no reduction in staff. It is the expectation of this Task Force that, in the case of positions new to this library system, implementation could be appropriately handled through redefinition or change of existing positions.

Pages 167/68 are charts of proposed plans of reorganization which:

1. can utilize present library system personnel

2. effect no downward changes in status or salary of present system personnel

3. add two new or reclassified positions in the interim reorganization, two additional positions for the long-range reorganization --all of them could be filled from among existing staff after reorganization

4. utilize more effectively the training and talents of existing personnel

5. group like activities together. For example, Collections and the Undergraduate Library are reader service operations and have been grouped under the Associate Director for Public Services, with Collections a part of the McKeldin Library and with its Head reporting to the Head of the McKeldin Library

6. coincide with the University's reorganization, *i.e.*, the McKeldin Library would be responsible for collection development and graduate services for three academic divisions: Arts and Humanities, Behavioral and Social Sciences, Human and Community Resources. The Science Library would be responsible for collection development and graduate service for two divisions: Agricultural and Life Sciences, and Mathematical and Physical Sciences and Engineering. The Undergraduate Library would be responsible for collection development and undergraduate service for all five divisions

7. facilitate decision-making at appropriate levels. Unit decisions not affecting other units could be made by the clearly designated head of that unit, *e.g.*, a Head of the McKeldin Library would be the appropriate level for decisions affecting only that library

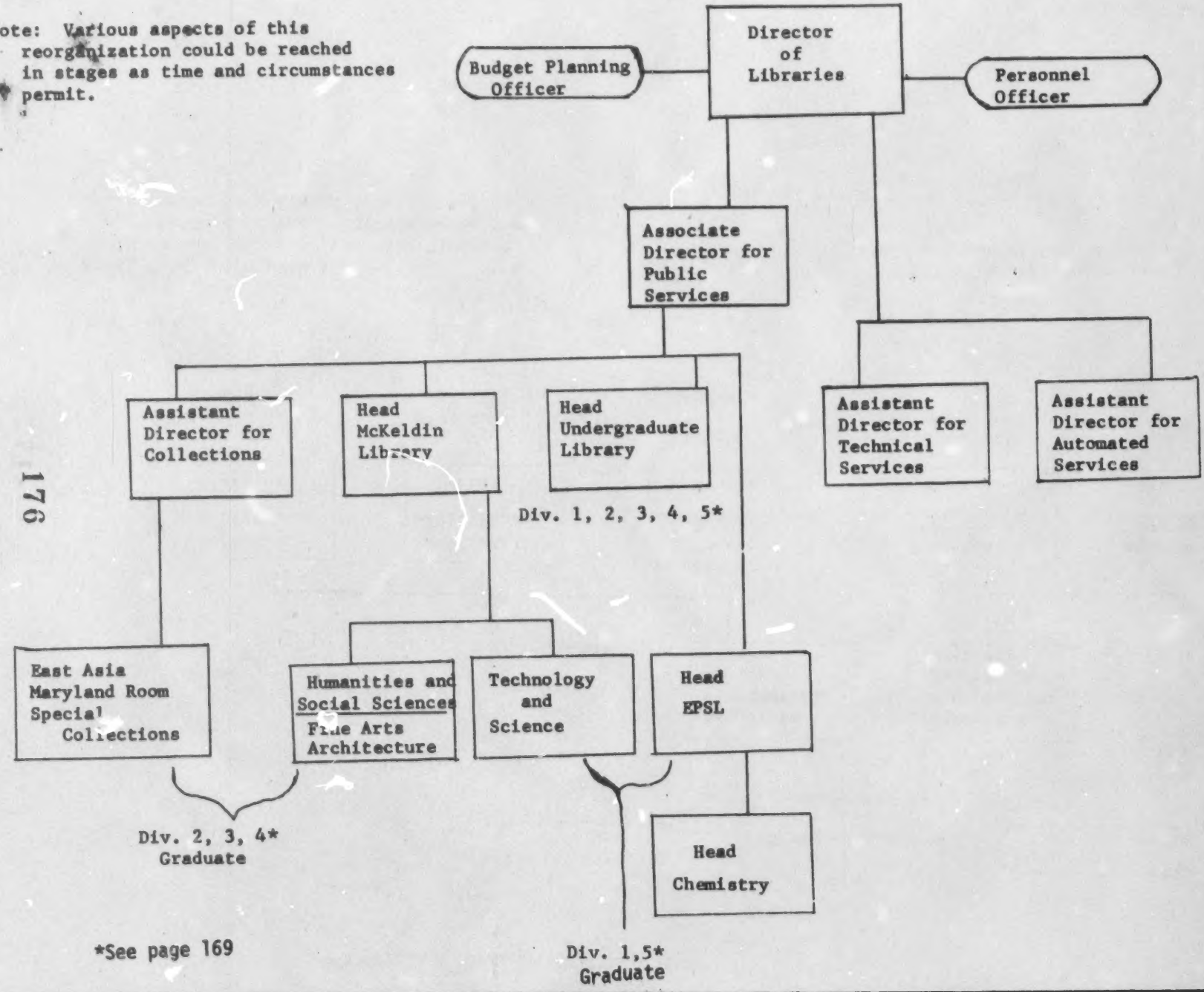
8. facilitate coordination of services, *i.e.*, the two Associate Directors would be responsible for coordination of activities in the two major areas of the library system: Public Services and Support Services

9. facilitate achievement of the long-range proposal for reorganization.

The interim reorganization is based, in part, on the "Division of Reader Services: Budget Request 1975-76" which is attached as Appendix I.

SUGGESTED INTERIM REORGANIZATION (see next page for long-range proposal)

Note: Various aspects of this reorganization could be reached in stages as time and circumstances permit.



*See page 169

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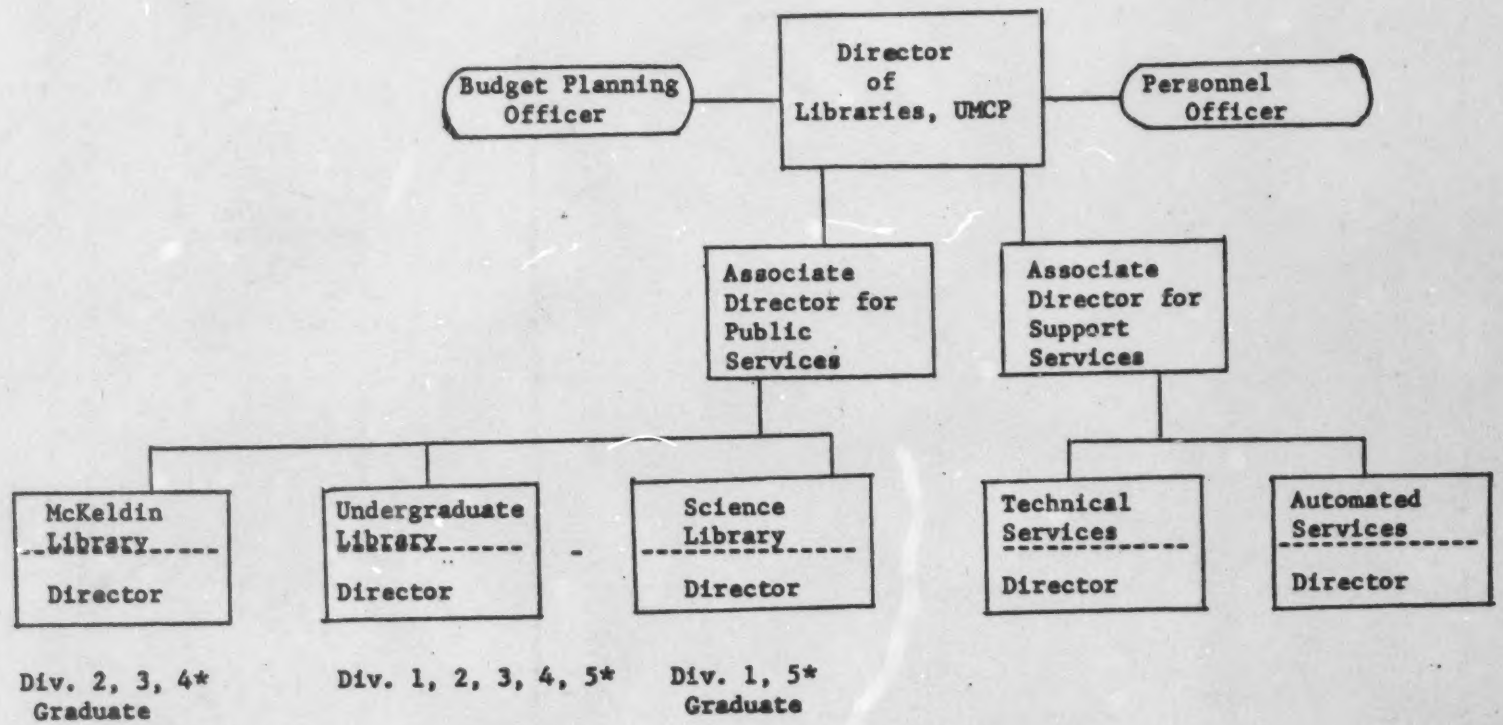
SUGGESTED LONG-RANGE REORGANIZATION



Note: Heads of branch libraries would report to the appropriate Director, *e.g.*, the head of the Architecture Library would report to the Head of the McKeldin Library.

Note: Titles in this chart are suggested titles only.

*See page 169

University of Maryland
College Park Campus

Plan of Academic Organization

9/73

1. Agricultural and Life Sciences

College of Agriculture
- Agronomy
- Agricultural Engineering
- Agricultural & Extension Education
- Agricultural & Resource Economics
- Animal Science
- Dairy Science
- Horticulture
- Institute of Applied Agriculture
- Poultry Science
- Veterinary Science

Botany
Chemistry
Entomology
Geology
Microbiology
Zoology

2. Arts and Humanities

School of Architecture

College of Journalism

American Studies Program
Art
Classics
Dance
English
French & Italian
German and Slavic
History
Music
Oriental and Hebrew Languages
Philosophy
Spanish & Portuguese
Speech & Dramatic Art

3. Behavioral and Social Sciences

College of Business & Management

Afro-American Studies Program
Anthropology Program
Bureau of Business and Economic Research
Bureau of Governmental Research
Economics
Geography
Government & Politics
Hearing and Speech Sciences
Information Systems Management
Institute of Criminal Justice and Criminology
Institute for Urban Studies
Linguistics Program
Psychology
Sociology

4. Human and Community Resources

College of Education
- Administration Supervision & Curriculum
- Child Study
- Counseling & Personnel Services
- Early Childhood Elementary Education
- Industrial Education
- Measurement & Statistics
- Secondary Education
- Special Education

College of Human Ecology
- Family and Community Development
- Foods, Nutrition & Institution Administration
- Housing & Applied Design
- Textiles & Consumer Economics

College of Library and Information Services

College of Physical Education
Recreation and Health
- Health Education
- Physical Education
- Recreation

5. Mathematical and Physical Sciences and Engineering

College of Engineering
- Aero-Space
- Chemical
- Civil
- Electrical
- Fire Protection
- Mechanical

Center for Materials Research
Computer Science
Institute for Fluid Dynamics & Applied Mathematics
Meteorology
Institute for Molecular Physics
Mathematics
Applied Mathematics Program
Physics & Astronomy

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A description of new and/or changed positions follows:

1. staff positions

   the Personnel Officer, reporting to the Director, would have responsibility for associate staff and classified staff. Search committees for associate staff would operate as they do now

   the Budget-Planning Officer, reporting to the Director, would have responsibilities for purchasing, implementation of budgets after allocation by the appropriate bodies, and assistance in implementation of planning.

2. line positions

   the Associate Director for Public Services would be Acting Director in the Director's absence. The chief responsibility of this position would be the coordination of all public services in the system

   the Head of the McKeldin Library would have responsibility for public services in that Library and for its physical plant. The Head of the Architecture Library would report to the Head of the McKeldin Library

   the Associate Director for Support Services would have responsibility for coordination of support services for the library system and for the State as needs evolve.

Division of Reader Services: Budget Request 1975-76

Introduction: Objectives

During my nine months' tenure as Assistant Director for Reader Services the level of service to readers which is currently accorded by the McKeldin Library has been one of my major concerns. After a considerable amount of study and contemplation, I have become convinced that the underlying key to an improvement in the level of reader service is a re-structuring of the Reference Services section in the McKeldin Library and the adoption of program budgeting in regard to the book funds.

It is my hope that I would be able to assume the leadership in re-structuring the McKeldin Library's Reference Service, and also assume an active role in developing program budgets for the acquisition funds. As you know I have succumbed to the lure of status, prestige, and a greatly increased income, but it seemed appropriate to utilize the opportunity presented by a budget request to outline the tentative plans which my thinking has generated.

Under the existing structure we find that several important functions are fragmented throughout five reference rooms with the result that a great deal of the burden of sub-professional work is carried out by professional staff. This is not only uneconomical in terms of the dollar-cost per function performed, but it means that the time of our professional staff is often consumed in the performance of sub-professional, quasi-professional, or non-professional duties. The end result is that professionals are not free to assume many of the professional duties which, to my mind, are concomitant with the best canons of professional service to library users.

There are three particular areas which currently consume a great deal of professional time: current periodicals, graduate reserves, and microfilms. Moreover in each of these domains there are significant drawbacks which affect the library user on the one hand, and the vulnerability of the materials on the other. There is also the important question of the cost-effectiveness of the existing arrangements for handling these items.

Current periodicals:

All the evidence which has come to my attention so far indicates that the distribution of current periodicals between five reading rooms is an arrangement which the library user finds extremely confusing. Library users are unable to understand the rationale underlying the allocation, and a great deal of staff time is spent in explaining the arrangement, referring to the serials print-out, and directing the library user to different locations.

At the same time the multiple maintenance of serials records - each room maintaining a separate "Kardex" - is difficult to support in times of tightened budgets and decreased staffing. Owing to the geography of the rooms, none of the reference rooms is able to exercise proper surveillance and physical control

over the periodicals in the rooms with the result that mutilation and theft occurs on a massive scale. The amount of photocopying of missing pages carried on through the Interlibrary Loan Department is an index of this problem. Where steps have been taken by each of the rooms to identify journals most subject to mutilation and to "corner" them behind reference desks the result is an increase in time spent handing them out - a task frequently done by professional staff members.

Graduate Reserves:

While the decentralization of graduate reserves has led to a greater level of satisfaction on the part of faculty members with the system there are serious drawbacks. Once again the existing system is dependent on a high level of professional input in assembling the materials, in supervising fluctuations and, more seriously, the day-to-day issue of these materials across the counter. Here the existing system rightly utilizes a higher level of professional input at the important beginning of the sequence of operations but does not relinquish this level at the appropriate point in the sequence, i.e. at the point of routine circulation. Moreover, the present staffing pattern of five graduate reserve desks may be shown to be extremely uneconomical.

Microfilms:

The routines associated with access to microform materials and with training library users in the use of the readers or reader printers are certainly not appropriate tasks for professional librarians. Moreover the care, maintenance and utilization of this type of equipment can most effectively be carried out if the microforms and the equipment is centralized in one location.

Proposals for Restructuring Reference Services

In order to upgrade each of the Reference Rooms to solve each of the problems outlined above would require a massive increase in student assistant budgets, in clerical-level assistants, and in upgrading the professional staff by at least one additional position in each Room.

All the omens present indicate the extreme unlikelyhood of these occurrences, so that it appears incumbent upon us to restructure Reference Services so that desirable economies in the use of staff may take place, so that better control over materials is exercised, so that our users may find a simpler rationale for the distribution of the materials they need, and so that professional staff may be better utilized in the three fundamental purposes of academic librarians: developing collections, carrying out deep level reference work with graduate students and faculty, and giving instruction to students in bibliographical and library research methodology. It is considered that the proposals which follow, will, with the detailed study which has not been possible at this stage, and with minor modification, bring about desirable changes and a higher level of service, to readers and that the preparatory work should be undertaken in fiscal 1974-75 with a view to their implementation by the beginning of fiscal 1975-76.

I. Social Sciences and Humanities Reference Room

The first important ingredient of these proposals is the merging of Social Science Reference with Humanities, and the elimination of General Reference to create a centralized reference room serving the Humanities and the Social Sciences. It has to be remembered that we are already envisaging the translation of the art materials to the new Art Library, and we propose that the present Fine Arts Room become the Music Reference Room, with dance taking its place with the other humanities materials.

At the same time we are suggesting that the Technology and Science Room be left essentially with its present sphere and scope; its academic and intellectual links are largely with the other branch libraries. Some new lines of demarkation may need to be sought in the areas of psychology and environmental studies within the McKeldin framework, but we are assured that, owing to the inherent nature of scientific studies it would be appropriate to leave T & S functions with regard to current periodicals and graduate reserve essentially undisturbed.

II. Periodical Reading Room

The next essential ingredient in these proposals envisages the transmogrification of the present General Reference Room into a central periodical and newspaper reading room. The side exits from the room should be closed and there should be a student checker stationed at the exit. This room is conveniently located immediately above the Serials Department with a connecting staircase, and we propose that the Serials Department assume responsibility for staffing and supervision of the Periodicals Room with some re-distribution of classified staff from Reference Services to Serials Department in order to enable the latter Department to carry out a broader range of tasks which would include preparation of periodicals for binding. The responsibility for initiating recommendations for additions to the periodicals collection and for carrying out advanced reference work with current periodicals would continue to devolve upon reference librarians.

III. Government Documents, Reserve and Microforms Room

The third major ingredient in these proposals is the total re-organization of the present Social Sciences room into a room devoted essentially to government documents, to graduate reserves, and to microforms. It is our opinion that we need a greatly expanded collection of U.S., foreign, state, and international documents, and that a separate documents department be created to acquire, index, and service them.

Graduate reserves and microforms both possess essential characteristics in common as far as servicing them is concerned, and it is our opinion that a Head of Documents at the level of Librarian I be appointed by internal promotion with the overall responsibilities for administering both documents and the desk operations and the servicing of the microfilm readers. That part of the graduate reserve operation involving liaison with faculty members and the initial preparation of reserve lists should remain the responsibility of the appropriate reference librarians.

A tentative organization chart for this section is suggested on the following lines:

HEAD OF DOCUMENTS, RESERVE AND MICROFORM ROOM

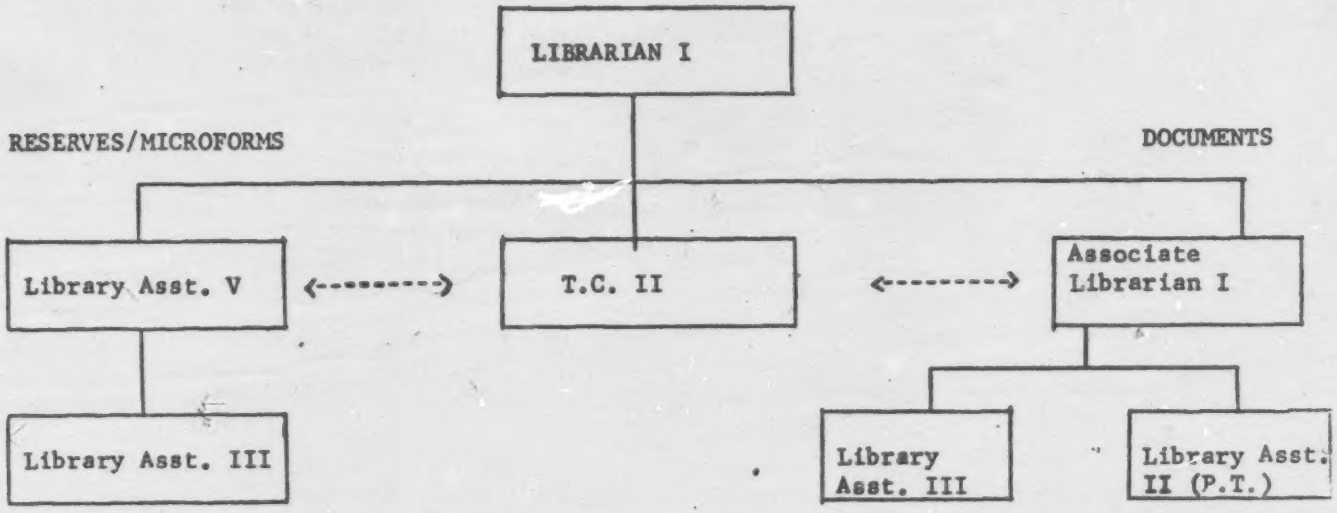

TABLE 3-1*

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
1. Character of motivational forces				
a. Underlying motives tapped	Physical security, economic security, and some use of the desire for status	Economic and occasionally ego motives, e.g., the desire for status	Economic, ego, and other major motives, e.g., desire for new experience	Full use of economic, ego, and other major motives, as, for example, motivational forces arising from group processes
b. Manner in which motives are used	Fear, threats, punishment, and occasional rewards	Rewards and some actual or potential punishment	Rewards, occasional punishment, and some involvement	Economic rewards based on compensation system developed through participation. Group participation and involvement in setting goals, improving methods, appraising progress toward goals, etc.
c. Kinds of attitudes developed toward organization and its goals	Attitudes usually are hostile and counter to organization's goals	Attitudes are sometimes hostile and counter to organization's goals and are sometimes favorable to the organization's goals and support the behavior necessary to achieve them	Attitudes may be hostile but more often are favorable and support behavior implementing organization's goals	Attitudes generally are strongly favorable and provide powerful stimulation to behavior implementing organization's goals
d. Extent to which motivational forces conflict with or reinforce one another	Marked conflict of forces substantially reducing those motivational forces leading to behavior in support of the organization's goals	Conflict often exists; occasionally forces will reinforce each other, at least partially	Some conflict, but often motivational forces will reinforce each other	Motivational forces generally reinforce each other in a substantial and cumulative manner
e. Amount of responsibility felt by each member of organization for achieving organization's goals	High levels of management feel responsibility; lower levels feel less. Rank and file feel little and often welcome opportunity to behave in ways to defeat organization's goals	Managerial personnel usually feel responsibility; rank and file usually feel relatively little responsibility for achieving organization's goals	Substantial proportion of personnel feel responsibility and generally behave in ways to achieve the organization's goals	Personnel feel real responsibility for organization's goals and are motivated to behave in ways to implement them
f. Attitudes toward other members of the organization	Subservient attitudes toward superiors coupled with hostility; hostility toward peers and contempt for subordinates; distrust is widespread	Subservient attitudes toward superiors; competition for status resulting in hostility toward peers; condescension toward subordinates	Cooperative, reasonably favorable attitudes toward others in organization; may be some competition between peers with resulting hostility and some condescension toward subordinates	Favorable, cooperative attitudes throughout the organization with mutual trust and confidence

* From Rensis Likert, *New Patterns of Management*. New York: McGraw-Hill Book Company, 1961. Reprinted by permission of the publisher.

Source: Rensis Likert, *The Human Organisation*. New York: McGraw-Hill Book Company, 1967.

TABLE 3-1 (*Continued*)

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS (*Continued*)

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
g. Satisfactions derived	Usually dissatisfaction with membership in the organization, with supervision, and with one's own achievements	Dissatisfaction to moderate satisfaction with regard to membership in the organization, supervision, and one's own achievements	Some dissatisfaction to moderately high satisfaction with regard to membership in the organization, supervision, and one's own achievements	Relatively high satisfaction throughout the organization with regard to membership in the organization, supervision, and one's own achievements
2. Character of communication process				
a. Amount of interaction and communication aimed at achieving organization's objectives	Very little	Little	Quite a bit	Much with both individuals and groups
b. Direction of information flow	Downward	Mostly downward	Down and up	Down, up, and with peers
c. Downward communication				
(1) Where initiated	At top of organization or to implement top directive	Primarily at top or patterned on communication from top	Patterned on communication from top but with some initiative at lower levels	Initiated at all levels
(2) Extent to which communications are accepted by subordinates	Viewed with great suspicion	May or may not be viewed with suspicion	Often accepted but at times viewed with suspicion. May or may not be openly questioned	Generally accepted, but if not, openly and candidly questioned
d. Upward communication				
(1) Adequacy of upward communication via line organization	Very little	Limited	Some	A great deal
(2) Subordinates' feeling of responsibility for initiating accurate upward communication	None at all	Relatively little, usually communicates "filtered" information but only when requested. May "yes" the boss	Some to moderate degree of responsibility to initiate accurate upward communication	Considerable responsibility felt and much initiative. Group communicates all relevant information
(3) Forces leading to accurate or distorted information	Powerful forces to distort information and deceive superiors	Occasional forces to distort; also forces for honest communication	Some forces to distort along with many forces to communicate accurately	Virtually no forces to distort and powerful forces to communicate accurately
(4) Accuracy of upward communication via line	Tends to be inaccurate	Information that boss wants to hear flows; other information is restricted and filtered	Information that boss wants to hear flows; other information may be limited or cautiously given	Accurate
(5) Need for supplementary upward communication system	Need to supplement upward communication by spy system, suggestion system, or some similar devices	Upward communication often supplemented by suggestion system and similar devices	Slight need for supplementary system; suggestion system may be used	No need for any supplementary system

TABLE 3-1 (*Continued*)

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS (*Continued*)

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
e. Sideward communication, its adequacy and accuracy	Usually poor because of competition between peers and corresponding hostility	Fairly poor because of competition between peers	Fair to good	Good to excellent
f. Psychological closeness of superiors to subordinates (i.e., how well does superior know and understand problems faced by subordinates?)	Far apart	Can be moderately close if proper roles are kept	Fairly close	Usually very close
(1) Accuracy of perceptions by superiors and subordinates	Often in error	Often in error on some points	Moderately accurate	Usually quite accurate
3. Character of interaction-influence process				
a. Amount and character of interaction	Little interaction and always with fear and distrust	Little interaction and usually with some condescension by superiors; fear and caution by subordinates	Moderate interaction, often with fair amount of confidence and trust	Extensive, friendly interaction with high degree of confidence and trust
b. Amount of cooperative teamwork present	None	Virtually none	A moderate amount	Very substantial amount throughout the organization
c. Extent to which subordinates can influence the goals, methods, and activity of their units and departments				
(1) As seen by superiors	None	Virtually none	Moderate amount	A great deal
(2) As seen by subordinates	None except through "informal organization" or via unionization	Little except through "informal organization" or via unionization	Moderate amount both directly and via unionization	Substantial amount both directly and via unionization
d. Amount of actual influence which superiors can exercise over the goals, activity, and methods of their units and departments	Believed to be substantial but actually moderate unless capacity to exercise severe punishment is present	Moderate to somewhat more than moderate, especially for higher levels in organization	Moderate to substantial, especially for higher levels in organization	Substantial but often done indirectly, as, for example, by superior building effective interaction-influence system
e. Extent to which an adequate structure exists for the flow of information from one part of the organization to another, thereby enabling influence to be exerted	Downward only	Almost entirely downward	Largely downward but small to moderate capacity for upward and between peers	Capacity for information to flow in all directions from all levels and for influence to be exerted by all units on all units

TABLE 3-1 (*Continued*)

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS (*Continued*)

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
4. Character of decision-making process				
a. At what level in organization are decisions formally made?	Bulk of decisions at top of organization	Policy at top, many decisions within prescribed framework made at lower levels	Broad policy and general decisions at top, more specific decisions at lower levels	Decision making widely done throughout organization, although well integrated through linking process provided by overlapping groups
b. How adequate and accurate is the information available for decision making at the place where the decisions are made?	Partial and often inaccurate information only is available	Moderately adequate and accurate information available	Reasonably adequate and accurate information available	Relatively complete and accurate information available based both on measurements and efficient flow of information in organization
c. To what extent are decision makers aware of problems, particularly those at lower levels in the organization?	Often are unaware or only partially aware	Aware of some, unaware of others	Moderately aware of problems	Generally quite well aware of problems
d. Extent to which technical and professional knowledge is used in decision making	Used only if possessed at higher levels	Much of what is available in higher and middle levels is used	Much of what is available in higher, middle, and lower levels is used	Most of what is available anywhere within the organization is used
e. Are decisions made at the best level in the organization so far as				
(1) Having available the most adequate and accurate information bearing on the decision?	Decisions usually made at levels appreciably higher than levels where most adequate and accurate information exists	Decisions often made at levels appreciably higher than levels where most adequate and accurate information exists	Some tendency for decisions to be made at higher levels than where most adequate and accurate information exists	Overlapping groups and group decision processes tend to push decisions to point where information is most adequate or to pass the relevant information to the decision-making point
(2) The motivational consequences (i.e., does the decision-making process help to create the necessary motivations in those persons who have to carry out the decision?)	Decision making contributes little or nothing to the motivation to implement the decision, usually yields adverse motivation	Decision making contributes relatively little motivation	Some contribution by decision making to motivation to implement	Substantial contribution by decision-making processes to motivation to implement
f. Is decision making based on man-to-man or group pattern of operation? Does it encourage or discourage teamwork?	Man-to-man only discourages teamwork	Man-to-man almost entirely, discourages teamwork	Both man-to-man and group, partially encourages teamwork	Largely based on group pattern, encourages teamwork

TABLE 3-1 (*Continued*)

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS (*Continued*)

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
5. Character of goal-setting or ordering				
a. Manner in which usually done	Orders issued	Orders issued, opportunity to comment may or may not exist	Goals are set or orders issued after discussion with subordinate(s) of problems and planned action	Except in emergencies, goals are usually established by means of group participation
b. To what extent do the different hierarchical levels tend to strive for high performance goals?	High goals pressed by top, resisted by subordinates	High goals sought by top and partially resisted by subordinates	High goals sought by higher levels but with some resistance by lower levels	High goals sought by all levels, with lower levels sometimes pressing for higher goals than top levels
c. Are there forces to accept, resist, or reject goals?	Goals are overtly accepted but are covertly resisted strongly	Goals are overtly accepted but often covertly resisted to at least a moderate degree	Goals are overtly accepted but at times with some covert resistance	Goals are fully accepted both overtly and covertly
6. Character of control processes				
a. At what hierarchical levels in organization does major or primary concern exist with regard to the performance of the control function?	At the very top only	Primarily or largely at the top	Primarily at the top but some shared feeling of responsibility felt at middle and to a lesser extent at lower levels	Concern for performance of control function likely to be felt throughout organization
b. How accurate are the measurements and information used to guide and perform the control function, and to what extent do forces exist in the organization to distort and falsify this information?	Very strong forces exist to distort and falsify; as a consequence, measurements and information are usually incomplete and often inaccurate	Fairly strong forces exist to distort and falsify; hence measurements and information are often incomplete and inaccurate	Some pressure to protect self and colleagues and hence some pressures to distort; information is only moderately complete and contains some inaccuracies	Strong pressures to obtain complete and accurate information to guide own behavior and behavior of own and related work groups, hence information and measurements tend to be complete and accurate
c. Extent to which the review and control functions are concentrated	Highly concentrated in top management	Relatively highly concentrated, with some delegated control to middle and lower levels	Moderate downward delegation of review and control processes; lower as well as higher levels feel responsible	Quite widespread responsibility for review and control, with lower units at times imposing more rigorous reviews and tighter controls than top management
d. Extent to which there is an informal organization present and supporting or opposing goals of formal organization	Informal organization present and opposing goals of formal organization	Informal organization usually present and partially resisting goals	Informal organization may be present and may either support or partially resist goals of formal organization	Informal and formal organization are one and the same; hence all social forces support efforts to achieve organization's goals

TABLE 3-1 (*Continued*)

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS (*Continued*)

Operating characteristics	*System of organization*			
	Authoritative			*Participative*
	Exploitive authoritative	*Benevolent authoritative*	*Consultative*	*Participative group*
7. Performance characteristics				
a. Productivity	Mediocre productivity	Fair to good productivity	Good productivity	Excellent productivity
b. Excessive absence and turnover	Tends to be high when people are free to move	Moderately high when people are free to move	Moderate	Low
c. Scrap loss and waste	Relatively high unless policed carefully	Moderately high unless policed	Moderate	Members themselves will use measurements and other steps in effort to keep losses to a minimum
d. Quality control and inspection	Necessary for policing	Useful for policing	Useful as a check	Useful to help workers guide own efforts

REPORT OF THE
TASK FORCE ON
LEADERSHIP AND SUPERVISION

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I. DESCRIPTION

Within the structure of the University of Maryland Libraries (College Park), library management is divided into three major levels:

1. the TOP management group consisting of the Director, the Associate Director, the Assistant Directors and the Head of the Undergraduate Library (Library Cabinet). Responsibilities of this group include policy making, fiscal allocations, and general leadership

2. the MIDDLE management group consisting of the Coordinators of Technical Services and Reference Services, room and department heads in the McKeldin and Undergraduate Libraries (UGL), and heads of branch libraries, *viz.*, the Engineering and Physical Sciences (EPSL), Architecture and Chemistry Libraries, whose responsibilities include acting as liaison between top management and staff, setting unit procedures, and providing input on administrative problems

3. the SECTION or unit heads found primarily in the Technical Services and Data Processing Departments, EPSL, UGL and the McKeldin Library Loan Department, who manage a specific area on a daily basis and are responsible for daily interaction with the staff.

While this hierarchical structure can be identified for management levels, such discrete levels of supervision are not as easily identified within the library system. The definition and responsibilities of supervisors vary widely from unit to unit. After investigation, this Task Force concluded that, in this library system, a supervisor is anyone who assumes responsibility for the work of another (including student assistants).

Those who supervise (in the above sense), as well as those who are supervised, generally agree that in this system the basic duties of supervisors include (in the order of importance given by those interviewed)

1. assuming responsibility to see that work flow is maintained

2. assuming responsibility for the correctness of the work

3. training of subordinates

Some supervisors (but not all) recognize additional duties (in order of importance to those interviewed)

1. motivating subordinates

2. evaluating or rating subordinates

3. selecting subordinates

4. identifying the line of command above him and communicating what work is going on in the unit and checking it against his supervisor's expectations

5. setting the example of acceptable behavior by personal example

6. knowing who reports to him/her, *i.e.*, what persons he/she is responsible for.

Supervisors in the library system (both those interviewed and those who responded to the Organizational Profile Questionnaire) exhibited great uncertainty about the extent of a supervisor's responsibility and about the limits of a supervisor's authority to act.

In examining library system supervisors and the selection process, two aspects of the problem emerge: the selection of supervisors, and the role supervisors play in the selection of staff. In regard to the selection of supervisors, no formal guidelines exist, but experience of those in the library system suggests that selection criteria include: seniority (for promotions from within) and technical expertise.

Supervisors who are classified staff are selected through use of the Campus Personnel eligibility lists, lower-level associate staff are selected by appropriate middle management, and upper-level associate staff (Librarian I and above) are selected through the use of library system Selection or Search Committees. However, aside from simple requirements for supervisory experience as specified in job descriptions, no existing selection policies spell out supervisory criteria for potential library system employees.

Through interviews and observation, this Task Force was unable to determine a pattern in delegating the task of selecting staff to serve as unit supervisors. This is a part of the larger delegation problem also cited elsewhere, but it is a particularly acute problem in certain areas where supervisors who were interviewed said they had *"no say"* whatsoever in the selection of subordinates.

Among supervisors, there is wide appreciation of the importance of good supervisory training and a willingness to participate in courses on the techniques of good supervisory practice. The Campus Personnel Office offers a Supervisory Practices course at least once each semester. Training program literature is mailed to the library system Administration, but no attempt is made to communicate information about its availability to the library system staff. In the past the Associate Director has offered a course on supervision, but it was last given eighteen months ago. The course was short (one day's work spread over two weeks) and focused on supervisory problems within the library system.

Coexisting with the lack of guidelines addressed to supervisory techniques is the lack of a systematic evaluation process of the library system's supervisors. All staff performance is evaluated through the rating forms. The Classified Employee Performance Report has fifty

performance categories, some of them in a separate section dealing with supervision. The Professional Librarian Rating Form has a place to check (1) satisfactory, (2) needs improvement, or (3) unsatisfactory, and a section simply labeled "comments". No specific mention is made of supervision.

Two patterns exist in the present evaluation process. In one pattern, the evaluation forms are filled out by the immediate supervisor, while in the other a person farther up the line of command takes that responsibility. In either case, there may be some informal staff input in the evaluation process, such as consultation with other staff members about the supervisor being evaluated.

It was learned through Task Force interviews, through the results of the Organizational Profile, and through the MRAP Needs Assessment Survey that most library system staff members are not aware of any stated goals and objectives of the total library system, whereas these same staff members are aware of and support specific unit goals and objectives. The on-the-job training each employee receives does much to enforce an awareness of unit goals. Supervisors in this library system seem to have an acknowledged responsibility to see that the subordinate understands why he/she is doing a job as well as what he/she is doing. While professing ignorance of any stated library system goals, most employees interviewed were of the opinion that the main goal of all units was to provide library service. Thus, implicitly at least, they saw no conflict between their unit goals and whatever library system goals might be articulated.

Techniques used to achieve effective work units and to motivate staff are varied. Most supervisors interviewed felt they have authority within certain limitations to make work assignments but that (as noted above) any other decision making is severely limited. Some supervisors have specific motivating techniques which they use, the most common being the staff meeting at which either the entire staff or specific groups (to the exclusion of others) meet to exchange ideas on the work.

From interviews conducted by this Task Force, and from responses to the Organizational Profile, it was determined that many employees feel that working for any area of the University a number of motivators of incentives, *viz.*, limited remission of fees for courses, the opportunity to attend classes, automatic pay raises (classified staff only), and an academic atmosphere. Some librarians felt encouraged to join and participate in professional organizations and to attend work-related conferences. Some staff felt motivated by being included in the decision-making process in their unit.

The satisfaction provided by the work itself was examined in the Organizational Profile (questions no. 1 and no. 22). Among supervisors, 52 per cent felt that a "great deal" of their motivation was inherent in the work that they did, while 30 per cent found a "substantial amount" of satisfaction in their work. Among non-supervisors, however, responses were mixed: a "great deal" of motivation in the work itself - 25 per cent; a "substantial amount" - 29 per cent; "some" motivation in the work

itself - 25 per cent; no motivation in the work they were doing - 15 per cent.

Many staff express dissatisfaction with inflexible upper limits on salary scales. Very few staff were aware of the present unwritten policy of rewarding some librarians above their salary scales. Discontent was frequently expressed by both classified and associate staff about the lack of opportunity for promotion within the state system. There are also problems in these two groups' mutual relationships and distinctions in job content, rank, authority, salary and recognition. This problem has been addressed by the Staff Alliance through discussions and questionnaires. The effort seems to have been successful only in exposing the problem and its tensions, not in solving it. In response to this situation, some supervisors or unit heads have begun to write job descriptions for employees in their area. In a few units which have a more collegial or less formal atmosphere, the tension between classified and librarians is less apparent.

Wherever it occured in the library system, poor communication, with its concomitant lack of trust and confidence in all levels of supervision and management, was a matter of great concern. In addition, the treatment of subordinates varies greatly from department to department and seems to depend largely on the attitudes and personality of the supervisor. There seems to be neither a clear understanding among supervisors of how to motivate subordinates nor any assistance forthcoming from management in this regard.

II. ANALYSIS

The present limited levels of management, and the manner in which the management roles are defined, are a potential strength for the library system. The shortest possible chain of command will theoretically keep a common direction for the library system, and may cut down on potential misunderstanding. This presupposes that those chosen for or promoted to managerial levels are persons with proven managerial experience, not that they are advanced primarily for their technical expertise.

However, the multiplicity of supervisors and levels of supervision is a notable weakness with the library system. For many reasons, the system has allowed the title "supervisor" to be applied to persons and jobs without any clear demonstration of

1. the need for a supervisor in the area
2. whether the incumbent is capable of being a supervisor, *i.e.*, capable of handling the library system's human resources
3. what specific responsibilities and powers will be delegated to the supervisor.

It is this last factor, the lack of delegation of responsibility to supervisors, which creates an unhealthy distance between decision-making and

the persons to whom these decisions apply. Procedural and minor personnel decisions tend to be quite consistently "bucked up" the line of command and, according to the Organizational Profile of library system employees, this practice is a major dissatisfaction within the entire library system staff at UMCP. As noted above, there is also considerable confusion as to the jurisdiction and role definition of supervisors which seems to be brought on, at least in part, by the lack of a network of written job descriptions. The title "supervisor" may have substantial consequence in the library system, or it may not. It is, this Task Force found, largely a class distinction, rather than a functional one.

Few formal guidelines exist for the selection of supervisors, but practice indicates an elaborate system of unwritten policies based on quantifiable technical skills and preference (without obligation) to those already within the system. Promotion to a supervisory position is often the only reward available to a competent worker, whether or not that worker has the ability or inclination for increased supervisory responsibility. These unwritten policies may encourage low staff turnover and promotional incentive, but they also reward sheer longevity, shield the system from "outside" ideas, and often place unsuitable people in supervisory positions they do not even desire. There is little documentation on who selects supervisors. This Task Force found that subordinates are usually excluded from the process of selecting supervisors. Further, without guidelines the Campus Personnel Office cannot supply qualified candidates for the eligibility lists nor can Search or Selection Committees function at top efficiency.

Many of the complaints mentioned in Task Force interviews--supervisors' unwillingness or inability to accept suggestions, to allow staff participation in decision making, to set goals, to communicate goals and developments to the staff, to praise good workers and discipline poor workers, to develop teamwork and encourage staff development--might be reduced, if not eliminated, with a staff of well trained supervisors. The lack of such effective training is presently a major weakness of the library system. It is symptomatic of the complete absence of control of supervisory practice in the library system as a whole, since it is no one's specific responsibility to ensure that a high standard of supervision is maintained.

An effective training program should reflect professional personnel expertise. The program would have to cover:

1. how to handle change in the organization
2. effective methods of discipline
3. methods for effective measurement of performance
4. the role of morale in productivity
5. methods of discovering individual goals and reconciling them with unit goals.

Without guidelines for selection of supervisors, and without a clear idea of what constitutes a "good supervisor", evaluation of supervisors in both classified and associate staff is severely limited. The Classified Employee Performance Report helpfully isolates certain supervisory categories of work performance, but the ambiguity in wording and the inconsistency from unit to unit in applying numerical "scores" undercuts the significance of any particular report. The Professional Librarian Rating Form specifies no performance categories of any kind, and leaves it to the person doing the rating to include all specific analysis of supervisory activity under the general heading "Comments". This results in uneven and often irrelevant comments which are not necessarily related to supervision.

Among the library system staff as a whole, there is almost total ignorance of overall library system objectives, although there is some knowledge of and a strong personal identification with individual unit goals. This Task Force was divided on the implications of this phenomenon. This may mean that unit supervisors are very adept at communicating work goals. It may also mean that there is little top management leadership in communicating the larger objectives. This may mean that unit supervisors are not encouraged to think through unit objectives as these relate to the system objectives, or that most of top management does not involve unit supervisors in the planning process. Annual reports of the units ought to reflect how the unit fits into the system. Most do not, but simply present their stories and their units' goals unrelated to the library system as a whole.

There was notable divergence between the responses of supervisory and non-supervisory employees to the Organizational Profile questions on decisions, motivation and supervision. This seems to indicate that while many supervisors may think they are creating an open and participatory atmosphere, many library system employees do not agree. From interviews and observations by this Task Force, it would seem that some supervisors in the system are so deeply concerned about production or staff that they do not take time to hold staff meetings, to solicit staff reaction to work related situations, or to plan for innovation in job content.

Sharp dichotomies exist between the employment advantages of different groups within the library system: between supervisors and non-supervisors, between associate staff and classified staff, and between employees in various departments and in branch libraries. The presence of divergent motivators or incentives is inevitable between some groups because of the nature of the work or the extent of an employee's personal commitment. This Task Force concentrated its efforts on the investigation of those incentives which could be effected by supervisors.

Most employees expect adequate salary, job security, good interpersonal relations and recognition of personal effort. This Task Force found, through interviews, that some areas within the library system provided much better incentives to employees, through utilizing personnel more effectively, through good systems of communication, through flexibility in job assignments, training in special skills, job rotation. or through participation in setting unit goals. These increased

incentives to do better work and with more job satisfaction were a direct function of supervision in the area. Where supervisors shared their role in decision-making and were allowed to innovate, employees representing all groups were better motivated, more informed, and spoke of greater self-fulfillment in their jobs.

In the Organizational Profile, 15 per cent of the non-supervisory employees reported finding no motivation in their jobs. It must be concluded that these persons see themselves in stultifying jobs, referred to in interviews as "dead-end" jobs. It is unclear who is responsible for identifying this situation and remedying it.

On the whole, there does not appear to be a philosophy or theory of supervision operating system-wide. There do not appear to be many incentives to be a good supervisor; more significantly, there is little penalty for poor supervision within the system. This Task Force concluded that the preoccupation with work goals and production in the library system has obscured the ideal definition of a supervisor as someone who develops the human resources of the unit and directs the staff toward the achievement of the goals of the organization.

III. RECOMMENDATIONS

This Task Force submits the following recommendations based on our investigation and analysis:

1. that all library system managerial positions be examined for job content to differentiate between those positions for which an Master of Library Science degree is required and those which do not require this professional education, and that classified staff members be appointed to fill those managerial positions for which an MLS degree is not required

2. that staff investigations into non-administrative, non-supervisory career ladders (such as that presently being conducted by the Library Assembly Conditions of Employment Committee) be encouraged, and that a similar investigation for the benefit of the classified staff be initiated

3. that a comprehensive project be organized and coordinated by the library system office which would result in a network of written accurate job descriptions and clarified reporting relationships for all UMCP library system employees. The expertise of the staff (on release time) and the Campus Personnel Office should be relied upon to complete this project

4. that following the writing of job descriptions for all library personnel, some shifting of descriptive titles take place in order to create a clear distinction between QUALITY CONTROL OFFICERS (who are responsible for production) and SUPERVISORS (who are responsible for the human resources of the library)

5. that the library system administration (Director) appoint an

ad hoc committee representing all library system operations and all ranks to examine and revise the existing statement of library system objectives and to establish priorities in order to reflect the current University and library system environment and to provide assistance and evaluation for the total library system program; and that the new set of library system goals and objectives be submitted to the entire library system staff for discussion; and that following staff and administrative discussion, the Director seek University endorsement by submitting these objectives to the College Park Senate for approval; and that a written statement of goals and objectives for the library system be made available to all library system personnel and be distributed to new employees

6. that departmental staff meetings generally be held on a regular basis to discuss business, answer questions and air grievances. An open atmosphere should be created to insure that these meetings are meaningful, and that information flows in both directions

7. that reliable and adequate sources of information be provided to key library system administration and library system advisory groups, in order to keep rumors to a minimum, to provide accurate information, and to keep the staff fully informed

8. that staff suggestions be officially encouraged and acknowledged, and due credit be given for those which are accepted

9. that the library system's administration gather a representative group from each area of the system to prepare descriptive guidelines for selecting supervisors (these guidelines will document desirable supervisory characteristics and experience); that these guidelines be used regularly within the supervisory selection mechanism which should include the following points:

   a. formal interviews with the applicant should attempt to determine supervisory potential within the context of the documented guidelines

   b. for an applicant from outside the library system, every attempt should be made to examine past work records and recommendations within the context of the documented guidelines

   c. for applicants from within the library system, interviews with the applicant's previous supervisor and subordinates should be conducted within the context of the documented guidelines.

10. that an attempt be made to assess the training needs of supervisors (in conjunction with supervisors) and that a training program be developed which is designed to meet the needs of library system supervisors and which uses the expertise on the Campus. In the interim, while such a course is being researched

and developed, this Task Force strongly recommends that the library system administration disseminate information and actively encourage the attendance of library system supervisors at those training programs now offered through the University

11. that library system staff be encouraged to develop new techniques and skills through training programs and classes offered through the Campus Personnel Office. Staff should also be encouraged to attend (on work time) work-related conferences, Staff Alliance meetings, and training programs

12. that an effort to eliminate dead-end jobs be made, possibly by a rotation of work assignments within a department, which would give an employee a broader view of the overall performance of the unit, eliminate monotony, and provide staff members with additional knowledge and experience that could qualify them for advancement

13. that the library system administration seek ways to reward monetarily those staff members who have reached the end of their salary scales and who continue to serve the University effectively. When established, this policy should be promulgated to all of the staff

14. that all levels of management set a standard for the system's supervisors by treating each staff member as an individual and by demonstrating an interest in the welfare of each

15. that the entire performance evaluation system be reviewed and analyzed in terms of difficulties which the present system has for both supervisors and employees; and that the library system retain the present general format for classified employee evaluation, especially the separate categories for supervisory performance; and that the entire process of professional evaluation be rethought and that, when applicable, specific supervisory work factors be rated on the form.

REPORT OF THE
TASK FORCE ON
STAFF DEVELOPMENT

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INTRODUCTION

Staff development is the systematic and regular assessment and utilization of the maximum potential of the limited human resources available to any organization. It must be systematic and regular because of the dynamic nature of both the personnel mix itself and the changing objectives of the organization in a time of expanding technology and both increasing and changing demands and needs. It must take into account the limitations imposed by budget, salary, and organization structures created by higher authority, and the interests and abilities of the people involved. It is necessarily tied to the desire of all employees to achieve their maximum human potential in terms of both job satisfaction and income, and must seek to equate these objectives with the overall organizational mission. In so doing, it will permit the organization to achieve maximum efficiency and productivity.

Staff development can take many forms and include many activities. This Task Force has attempted to identify those activities which now exist in the UMCP library system and to appraise them in light of the total system and its philosophies, objectives, and constraints. Using the *MRAP Manual* as a guide, we identified three basic elements within the process of staff development: orientation, job training, and career development. These are artificial groupings because the processes are interrelated and build upon one another. We have defined these elements as follows:

> Orientation: initiation to the employment environment, including the immediate job situation as well as the total organization and its community
> Job Training: training in specific skills and procedures necessary to satisfactorily perform the functions of the position
> Career Development: a long-range work advancement plan including assignment, reassignment and training to acquaint one with various aspects of the field and to establish a ground work for advancement.

Interview questionnaires were constructed based on these elements, and a twelve per cent random sample of the staff was interviewed. In addition, members of the library system administration and the UMCP Personnel Office were consulted. The information generated from these interviews, comments from the "Needs Assessment Survey", the "Organizational Profile", and University and library system documentation are the raw materials of this report. In order to best describe and analyse what is now available at UMCP, we discuss these elements of the staff development process at both the University-wide level and specifically within the library system.

I. DESCRIPTION

The UMCP does not have a comprehensive staff development program for all members of its faculty and staff. There appear to be no guidelines making staff development a committment of the University. There

are, however, opportunities and benefits which are available to all University employees and which have tremendous staff development potential.

All full-time employees are eligible to take four tuition-free credits each semester and three during a summer session. There is no requirement that these courses be job related, but release time from work is not part of the employee benefit. The UMCP Personnel Office has an Employee Development Office which sponsors a program of general courses which can apply to any departmental operation; this program is designed for classified staff, although other staff are not prohibited from taking advantage of the offerings. Participation in these programs requires the department chairman's approval (signature), and classes are meant to be taken on University time if the meeting time of the class falls within the employee's normal working hours.

The purpose of these courses, according to the handbook for classified employees, is to aid employees in gaining *"effectiveness in their present or future work through the development of appropriate habits of thought and action, skills, knowledge and attitude"*. The Employee Development Officer states that he has neither the time nor the funding to develop courses for specific departments. If, however, a department were to designate an employee development person, he indicates that he would work with such a person in developing a departmental program. In fact, in a memo regarding training for classified employees issued in April 1971, the UMCP Personnel Office states: *"there are presently three significant sponsors of employee training programs: the Departments in general, the Personnel Department in particular, and the Office of the Special Assistant to the Chancellor for Human Relations Programs."* Further, in expanding on Departmental offerings, it is stated, *"Each department is encouraged to develop and conduct its own training programs, especially in those areas which are intradepartmental in nature."*

While there is not an employee development program specifically for associate staff, the recently prepared handbook for associate staff states that a member of the associate staff may request leave without pay for a period of up to six months for purposes of professional development and, if granted, be assured return to his previous position, or the equivalent.

Except for the Director of Libraries, librarians and other library system employees do not have faculty status. The UMCP 1973/74 Faculty Handbook contains the following statement: *"The University encourages active participation in the work of the various professional and learned societies both on the national and the State level."* Neither the handbook for classified nor the handbook for associate staff contain a similar statement. The Faculty Handbook is a broader orientation tool to the Campus than the handbooks for the other two categories of employees, which deal primarily with personnel regulations. Accordingly, it is not clear that, as a matter of University policy, library system staff have similar obligations or opportunities in conjunction with their role in the University.

The UMCP library system does not have an overall staff development program or policy. Various activities exist, however, which provide limited opportunities for development to library system employees. For example, two library system organizations, the Staff Alliance and the Library Assembly, are supported by the library system's administration, and release time from job duties is granted both for participation in their programs and for involvement in their committee and executive projects. Committee work in itself can be a component of staff development. In addition, the work of several committees is specifically development oriented: the Professional Development Committee of the Library Assembly has planned educational tours for librarians, dispersed funds for development activities when such funds have been granted the committee by the Director of Libraries for these purposes, and planned development lecture/workshops for the Assembly; the Orientation Committee of the Library Assembly has this past year developed a system-wide orientation program for librarians; and the Staff Alliance Orientation Committee has produced and distributed the Library Orientation Handbook.

The Equal Employment and Education Opportunity Committee of the library system prepared a report in 1972 which dealt with, among other things, several aspects of staff development, such as job training, "dead end" jobs, and library careers. This Task Force has found, however, little evidence that this is a working document, in spite of the fact that many individuals expressed concern for the issues dealt with in the report.

An administrative leave policy enables employees to attend, with the Director of Libraries's approval, job-related conferences, workshops, and library system organization meetings on library time; in practice, these opportunities have been utilized more by associate staff than by classified staff. While there is no line in the library system's budget for staff development, there is a travel fund, but most of this is granted to administrators and a few others who either have presentations to make at professional meetings or have assignments to bring specific job-related information back to the library system. As previously indicated, in recent years a minimal allotment from this fund has been given to the Library Assembly's Professional Development Committee for dispersal to associate staff, but no regular or systematic policy exists regarding staff development funds.

It is generally supported in the literature and felt by those interviewed that responsibility for staff development should be shared between the individual and the organization. The organization at all levels is seen as responsible for creating a program which provides opportunities for staff development, while the individual is responsible for taking advantage of direction and opportunities afforded him. Although the library system administration has stated that, philosophically speaking, the organization should provide the basic coordination of staff development, no individual or particular office is assigned such duties. Responsibility for staff development is diffused throughout the system in individual divisions and departments. Most departments, however, have no one assigned specific responsibility for staff development; it is assumed that this is the responsibility of the supervisor. Some supervisors do see staff development as part of their role and have worked to varying degrees to develop activities for their

area; most have not. Most supervisors expressed the need for guidance from the top library system administration as to their responsibility for staff development.

A program of staff development must be based on known development needs, taking into account current capacities and carefully identified organizational goals and trends. While unit level reporting of projected manpower needs is accomplished for the short term on an annual basis, there is no overall long-range manpower planning for the library system. This fact has created a limiting effect on staff development activities, since human resource development is meaningful primarily in terms of identified organizational needs.

A. Orientation

All staff new to the library system receive some kind of orientation to the work environment. Orientation available includes orientation to the University, the library system, and the specific library department. The extent to which a new employee receives each of these types of orientation varies considerably.

An orientation session sponsored by the UMCP Personnel Office is offered to new classified employees every month. Information on employee benefits, retirement, health insurance, credit union, tuition remission, and University regulations is provided. In practice, although the Personnel Officer states that he notifies all new classified employees of this program, few library system employees seem to be aware of it or to have attended the session. No comparable offering is available for associate staff.

Orientation to the University community, covering such things as academic specialities, administrative organization, recreational facilities, etc., is not available through any organized program. The library system's Staff Alliance has set up a community information file in the General Reference Room of the McKaldin Library for system employees, and has included University community information in its Library Orientation Handbook.

Orientation to the library system as a whole is available; however, there is no consistency in terms of when and how it is offered, to whom it is made available, and what is covered. No single system-wide orientation for all employees exists. Only one division of the library system provides broad orientation for student assistants.

The Coordinator of Reference Services has established a program of orientation to Reader Services, normally once a year, which is designed for and available to all associate and classified reference services staff. Others are invited to participate if they are interested. A comparable orientation to the Technical Services Division and the Data Processing Department is not available. Orientation to other areas can be arranged if requested. A brief, informal tour of the entire Technical Services operation is offered for new employees of the individual units within the Division.

A system-wide orientation program for associate staff has been initiated this year by the Library Assembly. This program has an established agenda, which consists of in-depth sessions in each area of the library system covering such things as introduction to staff, major responsibilities and organization of each area and its special collections and services. Participation in the program is voluntary, and descriptive handouts may be available; the program is in the process of formal evaluation. The Staff Alliance Orientation Committee is investigating the possibility of enlarging on this program to include all members of the library system staff.

Orientation to the individual departments is available, but it varies greatly among areas and by level of position. The orientation is carried out by the supervisor or by someone designated by the supervisor. Generally, no written guidelines stating what to cover in the orientation and how to conduct it are provided for the person carrying out the orientation. Introduction to the head of the department and fellow workers seems to be the only common element that is included in each employee's orientation. The new employee may also receive information on payroll, leave, breaks, specific job duties, physical layout of the work area, and basic tools used. Information on the work and organization of the department as a whole and how one's work advances the objectives of the library system is not routinely covered in all departments. Personal initiative, especially on the part of classified staff and student assistants, is often required to obtain this information.

Written evaluation of the orientation activities is limited to the student assistant orientation program and the Library Assembly program mentioned above. The majority of evaluation consists of verbal comment.

B. Job Training

No program which attempts to plan and to provide in a comprehensive manner for the training needs of the organization exists within the library system. Generally, the training activities that do exist are designed to meet the immediate job performance needs of individual departments and are limited to informal means, consisting mainly of on-the-job training.

Responsibility for job training falls to the department, with specific activities conducted by the immediate supervisor or his designate. As with orientation, no written guidelines are provided.

An employee must be informed of his job duties. The written job description is one means of accomplishing this; within the library system these may or may not be available. In some areas, job descriptions are prepared for each position; in other areas there are none. In addition, this Task Force found a lack of understanding of the purpose of the written job description. - How specific should job descriptions be? Should job descriptions be reviewed and revised on a regular basis? Should job descriptions be used in evaluation?

Actual job training generally consists of the supervisor or his

designate leading the new employee through the various job tasks, then having the employee work through the tasks himself. In addition, as mentioned in the description of orientation, the training may include explanation of relationships of the employee's work to the activities of the department, explanation of how the department relates to various other areas, and finally how all these relationships support the library system in meeting its role and expected services. In practice this rarely happens.

Normally, the supervisor-trainer has no established guidelines detailing what is to be covered in the training. No schedule of learning objectices and activities is set up. Documentation in the form of procedural memos and manuals may exist, but, where available, these materials are often inappropriate as teaching aids and/or they are out-of-date. Formal evaluation in the form of both immediate feedback and long term follow-up is not done. There is a general feeling, however, that training is adequate because *"the job gets done"* and statistics are high.

The Undergraduate Library is developing a job training system, and has begun by using its Circulation Services as a prototype. A job training plan is developed for each position and discussed with the incumbent. Specific training activities are carried out under the direction of the department head. The training is formally evaluated by the trainee, the supervisor, and the department head.

Other training opportunities do exist, including the above mentioned formal courses provided by the UMCP Personnel Office. Although these courses are meant to be taken on release time from regular work hours, some library system personnel have received release time while others have not. Another course, dealing with supervisory skills, has been developed by the Associate Director of the library system. Awareness of and pariticpation in these courses is not widespread among system employees.

Supervisory training is very limited, and skills must generally be developed on the job. Most often training is sporadic and consists of informal verbal guidance from a higher level supervisor or through discussion with colleagues, most of which occurs after the employee becomes a supervisor. The library supervisory skills course is not offered regularly, and, when available,serves only a small number of supervisors. The UMCP Employee Development Office now offers courses in both supervision and management, but few library system employees have been encouraged to participate in them. One department has initiated several training activities in problem-oriented supervisory techniques.

While this Task Force found that the supervisory training is not comprehensive, even less training in managerial skills (such as determination of needs, establishment of objectives, planning, budget and report preparation) is available. Despite the strong tendancy to promote from within, no supervisory or managerial training is available to prepare individuals for these positions.

C. Career Development

UMCP does not have a comprehensive career development program for all categories of its faculty and staff. There is no career development program in the library system. In some instances, individual supervisors or department heads may take on this responsibility.

No patterns for career guidance exist; in general, if guidance is given, it is in the form of personal advice or encouragement. In interviews, some people indicated that particular superiors had taken an interest in their careers and had encouraged them to move ahead. All open positions are posted; the rules for application are described in Administrative Memo No. 45. Although some supervisors or department heads make a special effort to point out promotional possibilities available to their staff, it has usually been left to the individual to seek out the guidance that he feels he needs. There is a strong sentiment that career development guidance is more pertinent for librarians.

Some supervisors indicated that by adjusting and varying job assignments within a department they provide opportunities for growth or supervisory experience. Opportunities for job rotation within or among departments and, in general, for learning experiences outside one's particular job assignment are limited. One planned and documented experiment in job rotation was done in the Undergraduate Library with two classified employees, who learned and performed each others duties. Another experiment has been tried in the McKeldin Library, using Technical Services librarians to provide assistance to users of the public catalog. On balance, flexibility in job assignment in order to allow for growth is more available to associate staff. In some departments, however, there are opportunities for classified staff to obtain supervisory experience. Several non-supervisory personnel expressed a desire to gain experience outside their own immediate duties; administrative personnel responded that this might be desirable, but that there were administrative constraints operating against it.

Career assistance in the form of tuition benefits is available to all full-time staff; however, a more permissive policy of time scheduling prevails for associate staff and higher level classified staff employees, since they are allowed compensatory time and can accumulate it. This makes it easier for these staff to take advantage of these benefits.

It has been noted that committee work can help develop the individual. In order to function well on a committee, a person must have certain communication skills. Interviewees expressed the need for training in communication skills and group dynamics.

Currently, library system administrative committees are generally staffed by people already relatively high in the chain of command, thus limiting the availability of such opportunities to others. Library Assembly committees have members from all of the associate staff ranks, but the chairpersons have usually been from the top two ranks. Staff Alliance committees are staffed and chaired by employees from all levels in the library system.

As noted above, while all staff may attend conferences, workshops, etc., on administrative leave when necessary, in practice the majority of those attending such events are associate staff, however, even for them there is very little money available to defray the cost of attendance. The money available is used, for the most part, to send those in the higher administrative positions.

There is a feeling that promotions and transfers come by chance, because job mobility is tied to a vacancy or the creation of a new position. An individual cannot be sure that anything he has done will enhance his mobility, regardless of his personal initiative or aspirations. Staff members are usually neither encouraged nor discouraged from applying for other jobs or from acquiring skills that would make them more mobile. In short, if an individual is highly motivated, no one is likely purposely to deter him in the pursuit of his career.

This Task Force has identified several incentives which provide motivation for continued growth and development. Promotion, while conceived to be an incentive, is so uncertain that it cannot be considered a realistic possibility. Many administrators indicated that they had employees who deserved promotion but whom they could not promote because there were no positions open. For associate staff there is the possibility of a larger increment. Some department heads viewed this as a real possibility; others did not. The largest salary advancement opportunities are available for advancement to supervisory or administrative positions; this is true for both the associate and the classified staff. Opportunities for those already in supervisory positions, however, are also limited. Associate staff salaries may grow beyond the designated limit of the scale; however, this does not make the salary opportunity comparable with that of an administrative position of a higher rank. The Conditions of Employment Committee of the Library Assembly is currently developing a proposal for the Assembly regarding promotion within position for associate staff. Department heads may recognize individual growth in the annual evaluation of their associate staff. The restrictions of the classified staff evaluation form do not allow as much flexibility in this respect; verbal recognition is used by many supervisors. Many people, both supervisors and non-supervisors, indicated that staff members are usually told when they are doing a good job. People who learn to do new work or who take on new responsibilities are often rewarded with more work or more varied work. More interesting work is seen by most people as another incentive.

There is no pattern to the keeping of information about career development activities in personnel files; in general it isn't done. Some departments do keep a record of courses taken and conferences attended in the files of their associate staff. In these departments some supervisors have recently started using this information in performance evaluation.

II. ANALYSIS

Basic principles around which a staff development program should be organized and a description of staff development activities currently

operating in the UMCP library system have been stated. It is evident that many activities and attitudes which contribute to the staff's development already exist in the current environment. They make up much of what is basic to any staff development program, and though they must be examined in light of a conceptual framework which takes into consideration the needs, goals and objectives of the library, they should be considered strengths in the present situation. A list of identified strengths follows:

1. orientation, job training, and career development efforts are in existence

2. official policies of tuition remission and administrative leave for library system related conferences, workshops and meetings exist which should be utilized in a staff development program

3. the characteristics of the staff, namely their level of education, potential for growth, and expressed desire for self-improvement, make them receptive to a staff development program

4. The University climate promotes the opportunity for continual learning and improvement and, indeed, fosters the desire for learning and improvement in many individuals

5. staff associations, both formal and informal (such as Staff Alliance, Library Assembly and the Newer Librarians), have provided means of communication and exchange of ideas, and have taken an active interest in the formulation of staff development activities.

A realistic staff development program must also recognize that there are real limitations within which it must operate. These limitations cannot be properly described as weaknesses in the existing structure, because they are simply part of the real world in which the organization must function. In a sense, these constraints represent the greatest challenge to an innovative and creative staff development program, because they cannot be overcome simply by changes in philosophy or procedures at the organizational level. A list of identified constraints follows:

1. there is in any organization an inherent resistance to change

2. the library system's budget is subject to the uncertainties inherent in receiving funding from a political entity. This is more pronounced in these times of changing emphasis in attitude toward higher education. In looking to the future, this may result in more limited allocations

3. the limitations created by the existing personnel structure include salary restrictions, rigid position qualifications and lack of promotional opportunities. This, in combination

with the current job market, results in hiring of employees who are over-qualified for their positions and who often become dissatisfied

4. we have expressed that staff development is the responsibility of the organization and the individual; however, the ability of individuals to take advantage of staff development opportunities is often limited due to specific job or home situations

5. the entire burden of responsibility for library system's staff development cannot be borne by an individual institution. There are no generally accepted guidelines* or formulæ for academic libraries in the area of staff development, and few established "model" programs. Although efforts in this area exist within the professional library associations, there is a need for more coordination, cooperation, and profession-wide recognition of the purposes and benefits of staff development.

Just as the current environment enjoys many strengths in both activities and attitudes which contribute to staff growth, and which could provide the core of an effective staff development program so, too, it suffers from a number of weaknesses which, until now, have restricted optimum staff development. A list of identified weaknesses follows:

1. staff development is not fully recognized or supported as a valuable tool for the achievement of library system's objectives, and it is not a top management commitment. The necessary time and resources to develop a staff development program have not been allocated. When it is realized that almost sixty per cent of the library system's current budget is allotted to wages and salaries, the lack of a staff development program is a particularly significant weakness which this Task Force feels prevents maximum utilization of both funds and personnel

2. no systematic attempt is made to determine the human resource needs and the corresponding training needs of the library system. A comprehensive staff development program must be based upon identified current and future needs which relate to the goals and objectives of the organization

3. no one is clearly responsible for determination of staff

* Following submission of this report, thisTask Force learned of a recent publication entitled Staff Development and Continuing Education Programs for Library Personnel: Guidelines and Criteria, by Barbara Conroy. It is recommended that these guidelines be studied in depth by all concerned with staff development.

development philosophy or for execution of staff development activities. Initiative for and execution of staff development activities is diffuse and uneven. The lack of coordination and continuity weakens the ultimate effect of the activities

4. existing staff development activities are not formalized on a system-wide basis. Objectives usually are not stated, written guidelines are not prepared, techniques are not specified, timing and sequencing are not planned, and evaluation is not routinely performed

5. availability and quality of staff development opportunities and activities is inconsistent. There are few staff development activities for student assistants, opportunities for part time employees are limited, and staff development activities are not comparable between associate and classified staff and from department to department

6. incentives for participation in staff development activities are weak. Opportunities for growth and development within a particular job are often restricted. Promotion takes into account relevant individual ability, performance, and growth, but is dependant upon a vacant position; these openings are limited. It is unclear how merit increments are allotted. Recognition for growth in non-administrative skills is limited

7. encouragement to participate in staff development activities which do exist varies from department to department and from job level to level

8. people responsible for staff development activities are not given training to enable them to adequately carry out their responsibilities

9. training is generally limited to on-the-job training; for supervisors and managers, however, there is little on-the-job or other training. Few situations exist where training is accomplished prior to job assignment. Individuals are forced to perform jobs while they are still learning. This is a particularly critical situation for public service and supervisory positions

10. opportunities to vary or broaden job assignment are limited. Where promotional opportunities are limited, alternative opportunities, such as job rotation or lateral movement, through which individuals can find equal or greater job satisfaction and personal interest, have not been developed sufficiently within the system

11. little systematic attempt has been made to identify and utilize Campus resources potentially useful to the library system's staff development needs

12. little attempt has been made to identify and utilize opportunities and information made available by library professional and technical associations, library schools, and other fields potentially useful to the library system's staff development needs. This is crucial in an organization which has a tendency to promote from within

13. follow-through on the ideas and recommendations set forth in the library system's EEEO Report, such as the systematic identification and elimination of "dead end" jobs, has been minimal

14. planned career development for employees on a system-wide basis is non-existent. To fully utilize the library system's human resources and encourage individual growth, there must be planning and opportunities for development beyond the immediate job.

III. RECOMMENDATIONS

This Task Force recommends that:

1. a formal statement of commitment to staff development be made by the library system's management, and that this commitment be publicized and formally transmitted to the library system staff

2. a staff development position be established and an officer be appointed. This could be a reassignment from some existing position. This officer should:
   a. coordinate all staff development activities
   b. provide training and guidance for those directly responsible for implementing staff development activities.

3. a committee on staff development composed of representatives from all levels of staff be appointed to assist this officer

4. this officer and committee work together to accomplish the following:
   a. study current and future manpower needs in relation to the library system's goals and objectives
   b. determine the training and development needs based on these identified manpower needs
   c. recommend a staff development program based on identified needs
   d. identify those positions within the organization

that should bear responsibility for various staff development activities

e. serve as a clearinghouse for staff development information and ideas.

5. the staff development program include:
   a. a coordinated orientation program for the entire library system which:
      1. is an ongoing documented program
      2. includes orientation to the entire library system and UMCP community
      3. is evaluated, reviewed and revised on a regular basis.
   b. a coordinated, documented training program which:
      1. includes a training plan for each unit, with documented training activities designed for each type of position
      2. provides each employee with a written job description for his position, which description is evaluated regularly
      3. identifies or, where necessary, develops supervisory training opportunities
      4. requires any employee whose responsibility it is to train or supervise another employee to have supervisory training
      5. identifies or, where necessary, develops management training opportunities
      6. requires any employee whose responsibility it is to manage to have management training
      7. makes available training in communication skills and group dynamics to all permanent employees.
      8. develops a library awareness course for employees unfamiliar with library functions and work
      9. identifies and publicizes relevant training and development programs offered on and off Campus
      10. evaluates all training in terms of effectiveness and needs, and includes the trainee in the evaluation of his own training.
   c. a program of career development which:
      1. identifies career development opportunities and provides monetary support, counseling and encouragement for participation
      2. considers short courses, workshops, and conferences in light of individual career plans and organizational needs and sends employees from all levels at library system expense when these offerings fulfill library system needs
      3. expands incentives to participate in staff development to include promotion in recognition of growth in other than supervisory responsibilities and for lateral job variation for all employees
      4. sees that jobs contain the necessary elements that can lead to other positions that are promotional

opportunities as recommended in the library system's EEEO Report

5. examines and clarifies the function of the personnel file in career development.

REPORT OF THE
TASK FORCE ON
PERSONNEL

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INTRODUCTION

A. Definition and Charge

The definition of "Personnel" as defined in the *MRAP Manual* is *"securing, developing, and utilizing human resources needed to achieve the objectives of the library."*

The charge of this Task Force is *"to examine the personnel function and to review the available data on the characteristics of the library's staff. Attention should particularly be paid to recruitment techniques, manpower planning, placing of personnel in library organization, job descriptions, performance reviews, handling of grievances and problems, personnel records, and rules and regulations for promotion, compensation, transfer, and termination of employment."*

B. Statement of Intent

The primary intention of this Task Force is *"to review and analyze present library practices relating to personnel."* This analysis is based on principles of personnel administration as they relate to achievement of library system objectives. The main objective of the library system is to be a functional teaching aid and information source by providing the UMCP community with a broad and representative range of information services and resources.

Thus, the Personnel Task Force sees management at all levels as having the prime responsibility for organizing and maintaining the large and varied work force needed in order to fulfill these objectives.

Therefore it is necessary that the needs of the work force be united with the goals of the management, which should be manifested in fair and effective personnel practices.

C. The Task

To accomplish this task, 60 interviews were conducted and questionnaires were distributed to and returned by 220 staff members.

The interviews were conducted among the following groups:

- 7 top management (Director, Associate Director, Assistant Directors, Head of the Undergraduate Library)
- 20 middle management (Coordinators of Technical and Readers Services, heads of branch libraries and units within McKeldin and UGL, *e.g.*, Cataloging, Circulation, Reference Rooms, *etc.*)
- 10 general staff members
- 15 minority staff members
- 5 employee organization representatives
- 3 persons from outside library system

Questionnaires were distributed as follows:

- 7 to top management
- 22 to middle management
- 191 to other staff members

This Task Force has used the following definitions in its report:

area - Technical Services; Public Service, McKeldin Library; or Branch Libraries
department - a division which is headed by an Assistant Director
unit - reference room, catalog department, Engineering and Physical Sciences Library, etc.
administration - top management
all library system employees - staff members surveyed by this Task Force

This Task Force also consulted the Analytical Tables in the MRAP Manual, the suggested readings, personnel handbooks and the library system's Administrative Memo Series.

I. DESCRIPTION

A. University Personnel Policy

The personnel policy of the University of Maryland, College Park (UMCP) is governed by Article 77-A, Section 15, Sub-Section E-1 of the Autonomy Act as published in the Annotated Code of Maryland, 1957. Under this act, the University was granted a certain amount of autonomy by the State of Maryland. Article 77-A grants to the University the right to employ its staff with the following conditions:

1. University employees have the same rights and privileges as other state employees, and

2. the University must pay no less to its employees than the State pays for comparable positions.

Outside of these provisions, the University has been free to develop its own personnel policies. As a result there are regulations which are University-wide, some which apply only to the College Park campus, and some which apply to the University through specific federal regulations.

These regulations are published in two booklets: Personnel Policies and Rules for Associate Staff Employees of the University of Maryland (January 1974)[1] and Personnel Practices for Classified Employees of the College Park Campus (January 1974)[2] It is the practice to revise the Yellow Book annually. This is the first edition of the Blue Book and the UMCP Personnel Office indicates that the same policy will apply in revising it. The Yellow Book is designed to give staff members information regarding the policies, rules and procedures "*derived from established State and University-wide policies supplemented by other practices currently in effect on the College Park campus*". The sections of this publication make no distinction as to which rules are State and University-wide and which are College Park Campus practices. The purpose of the Blue Book is to "*make explicit the terms and conditions that pertain to associate staff employment thereby contributing to University-wide uniformity in the application of policies and rules.*"

[1]Hereafter referred to as the Blue Book.
[2]Hereafter referred to as the Yellow Book.

The University staff is composed of three general employment categories:

1. academic staff
2. classified staff
3. student employees.

The academic staff group is further divided into:

1. faculty appointments
2. associate staff appointments.

Until January 1974, the associate staff was called the "non-non" group; that is, those not belonging to the faculty and not belonging to the classified staff. This group has no established rules or regulations throughout the University. The UMCP Personnel Office indicated that each department handled this group in its own way and that over the years, *"many inconsistencies and glaring injustices developed from department to department".*

Two years ago, a committee was appointed to study the situation and propose rules and regulations for this group that could be implemented throughout the University. The UMCP library system was represented on this committee by an Assistant Director. The committee's report was accepted by the President of the University in January, 1974, resulting in the renaming of the group "the associate staff" and the publishing of the Blue Book. On February 3, 1974, the UMCP Chancellor notified department chairpersons of the President's decision to implement the associate staff report and announced the appointment of an Implementation Committee to develop procedures for the transition to the formal program. Rules for identification and grouping of staff into 4 groups, establishing new positions, and computing annual and sick leave were released at that time. Departments were requested to provide job descriptions for each associate staff position in their area by March 1, 1974, for the Committee's study. The Committee is expected to announce by individual letter to each staff member its decision regarding his or her grouping.

The staff of the University of Maryland College Park library system[1] is comprised of 85 academic staff, 193 classified staff (including the library assistant, clerical, data processing, electronics technician, *etc.* series), and approximately 350 student employees. Since July 1972, the library assistant series has contained five ranks. Just prior to that date the library system series was reclassified to bring it into line with the changes that were taking place in the State clerical series. Librarians from all campuses took part in developing this new series, and the UMCP Personnel Department indicated that the addition of Library Assistant V was meant to meet the need felt by the library system for para-professional groups.

B. Placing of Personnel in Library System Organization

1. Classified Staff

[1]Hereafter referred to as the library system.

The major portion of identifying and routing candidates for the classified staff is done by the UMCP Personnel Office. When it is notified by the library system of a classified vacancy, the Personnel Office provides an eligibility list of qualified candidates working on the campus who have expressed an interest in promotion or change and "walk-in" candidates who have taken the written clerical examination.

Advertising for staff is done automatically only for positions grade 8 and above, *e.g.*, Library Assistant V. For other positions, the Personnel Office will advertise, but a specific request to do so must be initiated by the library system. If enough qualified candidates are not found through advertising on this Campus, efforts are expanded to include local newspapers and locations in the area, such as other personnel bulletins, military bases and colleges. These positions are advertised for ten days, after which the eligibility lists for these advertised jobs are sent to the library system.

In addition, those who express interest to the library system administrative office are referred to the Personnel Office. The library system maintains its own vacancy list, which is posted in the library system administrative office, the McKeldin Library staff room, and circulated to units as well as to the College of Library and Information Services. Library system employees who are eligible for vacant positions may express their interest to the system's Administrative Assistant and will be interviewed.

A candidate must qualify by having the education and/or years of experience specified for that position. A list of eligible candidates for full-time employment is compiled by the UMCP Personnel Office based upon a system outlined on the reverse side of the eligibility form. Preference is given to persons with high scores on the clerical test, to those who have been laid off from a previous job, or whose grant money has run out, and to those returning to University employment. Consideration is given in tie situations to veterans and to Maryland State residents. UMCP requires each department to interview at least those candidates of the top five who are: (a) reinstatement, re-employment or transfer candidates; (b) current University employees; or (c) minority or female candidates, unless a minority or female candidate is selected.

Each applicant for a full-time position must fill out the standard University application form and file it with the UMCP Personnel Office. Should an applicant be eligible for more than one classification (Library Assistant, Office Secretary, Clerical Assistant, *etc.*) a duplicate application is made. When an eligibility list is forwarded to a department, the applications are also included.

The Administrative Assistant in the library system administrative office screens, on the basis of position descriptions given her, those applicants who do not qualify for the vacant position. This usually involves weeding out those who do not meet the special qualifications for the position (special hours, typing skills, *etc.*).

In interviews, various comments were made on recruitment: while the Associate Director indicated that the weeding process is important in screening candidates so as not to waste either the applicant's or super-

visor's time, some members of top and middle management say that the process does not always function properly. Some members of both management levels say that the library system is *"not necessarily looking for the candidate with potential"*, that, instead, hiring is done for just that job with no thought about potential to advance. Some feel that recruitment is not a problem because of the large number of applicants; others point to an increase in salary as a means to attract better candidates.

Those who meet the requirements are interviewed by each person in the interviewing process. This interviewing process varies from area to area. Selection decisions are made in most areas after consultation among those involved in interviewing, with final decisions being the responsibility of unit heads. Characteristics which unit heads seek are alertness, adaptability, intelligence, willingness to work, eagerness to learn, interest, flexibility, and enthusiasm. Task Force interviews revealed that although a few individuals have acquired some knowledge through reading or taking courses, the library system does not provide middle management with training in interview techniques.

Each unit is required to file with the system's Administrative Assistant a selection report for each candidate interviewed which describes the reasons for selecting one applicant and the reasons for not selecting other applicants. At the Undergraduate Library, individual interview reports are filled out by interviewers, with these forms being compiled on the Selection Report Form by the Assistant Head. This selection report is forwarded to Personnel.

The probation period for classified staff graded 1-8 is ninety days, which may be extended to a maximum of six months. For grade 9 (Library Assistant V) and above, the period is six months, which may be extended to a maximum of one year. After the probation period is successfully completed, an employee can only be discharged for just cause and this can be appealed.

2. Associate Staff

Responsibility for recruitment of the associate staff rests with the Associate Director of Libraries. A department identifies the qualifications needed in a particular position and the Associate Director initially searches the applications on hand. This file of applications is indexed by majors, language specialty, graduate-level work, affirmative action criteria, and other items of interest. Applications are given to the appropriate person or selection team responsible for filling the vacancy.

Applications for a position are often generated through personal contacts of the Associate Director, or of other employees. The UMCP Personnel Office advertises a vacancy upon notification by the Associate Director. Advertising is done in the same way as for classified staff. Applicants who respond to this advertising are sent directly to the Associate Director. Sometimes, especially in areas of very specific requirements (*e.g.*, music librarian, archivist, *etc.*), the library system contacts placement agencies and library associations. The Director of Libraries stated that local library schools are contacted, and that the library receives ample applications. Several members of middle management expressed the need to broaden recruitment efforts to schools outside the immediate area.

The Committee on Appointments of the Library Assembly appoints a Selection Committee, which reviews applications, interviews candidates, and makes recommendations to the Director of Libraries when a vacancy occurs at the level of Librarian I or Librarian II. Each Selection Committee is chaired by the supervisor of the vacant position and includes two other members, one of whom must be from another department. The Selection Committees may request that more recruiting be done by the library system's administration and may suggest suitable applicants. Selection Committees are viewed by both management levels as opening up the selection process to more people and more points of view, thus enabling higher levels of associate staff to have more input and responsibility in the selection process. There is some feeling that the selection committees should be expanded to include Associate Librarian I's and II's and/or Assistant Directors.

For positions at the level of Assistant Director,[1] the Director of Libraries has recently appointed search committees to review applications, interview candidates, and make recommendations. Such committees have five to seven staff members who are chosen to represent different levels, units, and areas of interest. A large majority of middle management think that they have little input into the appointment of Search Committees. Most see no established channels for input and there is some complaint about a lack of guidelines for the Search Committee process. Those who feel they have input say that it is more a matter of taking it upon themselves to offer suggestions, rather than responding to a solicitation from the Director.

To be eligible for most associate staff positions, one must have a master's degree from an ALA-accredited library school. Some associate staff positions require degrees in other fields (*i.e.*, data processing). Requirements for each level are not as specific as those established for the classified staff. Associate Librarian I is considered a beginning librarian position with more experience and administrative responsibility generally expected for each succesive level.

The library system has its own application form for associate staff, which is obtained from and filed at the library system administrative office. However, it is also the practice to accept personal resumes in lieu of application forms.

Selection for Associate Librarian I or II positions is made after discussion among those who have interviewed, and usually the recommendation of the unit head prevails. The selection is made known to the Associate Director by the highest in the chain of command as specified in Administrative Memo No. 22.

Selection for Librarian I or II positions is made by the Director or his designate after he receives the recommendation of a selection committee, the committee having ranked all candidates in order of preference and having indicated acceptable or not acceptable for each. Selection for Assistant Director positions is made by the Director after he has received the recommendation of a search committee.

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[1]When this Task Force uses the term Assistant Director it includes Head, Undergraduate Library.

During the first year, an associate staff employee may be dismissed without recourse, with a minimum of one month's notice. In addition, with up to seven years service, a staff member can be dismissed with only "adequate notice of termination." After seven years an associate staff employee can be dismissed only for just cause. This can be appealed.

C. Affirmative Action

UMCP's affirmative action plan states that *"The College Park Campus Administration is committed to the elimination or revision of any policy or practice which in effect is discriminatory. It considers this commitment a part of its intrinsic obligation to fairness and justice. In keeping with that commitment, the document is intended to specify the administrative intent to utilize the skills of minorities and women in significant numbers at all levels of employment with particular attention paid to their increased employment in higher grade positions."* The plan was published as a supplement to the Diamondback, and excerpts appear in the Blue Book, pp. 13-14.

Manifestations of this plan in UMCP personnel policy are as follows:

1. the Personnel Office insures that at least one black and one woman appear among the first five candidates on each classified employee eligibility list

2. assistance to departments in recruiting minority candidates for the staff

3. an affirmative action officer who works with individual departments in carrying out the UMCP commitment

4. requirement of an annual staff profile for each department

5. the establishment of the Office of Human Relations.

The library system administration states that it has committed itself to the following personnel practices beyond UMCP requirements to assist in fulfilling this responsibility:

1. all of the first five on an eligibility list will be contacted for interviews

2. a job will remain vacant for one month unless two blacks are interviewed or until one black is chosen

3. travel expenses may be obtained for minority candidates for associate staff positions

4. the library system will select a well-qualified black candidate in preference to that candidate deemed "best" qualified

5. establishment of the Equal Employment and Education Opportunity Program (EEEO), which includes a biennually elected EEEO officer and an appointed seven-member committee.

Both levels of management are divided on how strong and how effective the library system commitment is at this time. Numerous obstacles to affirmative action were cited such as: low salaries, the UMCP'S past reputation as a white institution, geographic location, and lack of qualified candidates.

Most members of both top and middle management believe that the library system offers blacks the same benefits that it offers to any candidate. However, some believe it offers a general impression to a black candidate that he/she would be unhappy here, be very critically judged, and be given a less than equal chance at promotion.

Most of the black employees interviewed decided to work in the library system because it was convenient (location easily accessible from home, or already attending school here), or because they had a desire to work in an academic atmosphere; a few suggested the educational opportunities, salary, and tight local job market.

Only half of those blacks interviewed actually considered the library system discriminatory, but of those, many had strong negative feelings about management's attitude toward most black employees. Only one black employee had heard of the library system's Affirmative Action program. Only a small number of the blacks interviewed felt that management had a commitment to minority hiring. All blacks interviewed felt that the major obstacle to black hiring is prejudice and use by the administration of stereotypes to characterize blacks.

In addition, Task Force interviews revealed that many staff members feel that the achievements of women in the system are not adequately recognized. Rigidity of working hours and inadequate child care facilities were seen as obstacles to women employees.

D. Work Force Planning

The Director of Libraries states that the library system is at the end of a growth period and will now have to fit present personnel into areas of particular need. The manpower needs for the library system are expressed each year through the budget request process. The information is compiled by the heads of the various units and passed up the line of command. Documentation and statistics are gathered on such items as circulation, amount of service provided by public service areas, and production in terms of books ordered, titles cataloged, and other operational functions. Comparison of growth or decline in certain areas is noted. Some areas of the library system include many members of the staff in this analysis and goals setting, while other areas rely upon the unit head to determine these needs. Some areas use the committee process to establish manpower priorities.

The UMCP budget determines the constraints within which new positions can be allocated. The Director of Libraries, in consultation with the Associate and Assistant Directors, determines which needs are greatest in line with the goals of the library system.

Although the budget request is accepted as the medium for presentation

of the personnel needs of the various units, much dissatisfaction with this process is expressed by middle management. Most unit heads recognize the limits established by the library system's budget, but feel that political expertise or lobbying skills on the part of department heads or Assistant Directors unduly influences the decisions of the Director of Libraries. Some noted that certain areas of the library system are more amenable to statistical evaluation that others, and that it is difficult to measure level and quality of public service.

When a special project arises, a study is usually conducted to determine what personnel will be required to do a specific new project. Cost justification is sometimes a part of this analysis. Each department perceives its role differently and, therefore, determines its projects differently. One department views its projects as directives from the administration to provide support services as needed. Some departments use committees to decide priorities, while others utilize staff meetings to establish priorities in view of other commitments. Of the sixteen middle management people who were asked, eleven indicated that new projects and expansion of services are instituted without adequate staffing. Many units attempt to streamline their operations or rotate staff to heavier workload areas. Others take care of crises to the detriment of current programs or quality of service.

Workload reevaluation is done at the unit or department level, but little indication was found that this is done on a system-wide basis. Duplication of effort at various points in the library system is seen as a problem by several of those interviewed.

There is general agreement that something should be done to add more steps in the classified pay scale or to provide a way for the top level to move upward. Moving into the Associate Librarian level was suggested as an alternative. Many of those interviewed preferred a third classification as a para-professional, but many see this as cumbersome and difficult to superimpose on the present system.

E. Job Descriptions and Training

For each classified position, a position description outlines the nature of work and the breadth of responsibility. These general descriptions are supplemented by Administrative Form no. 7 (Classified Position Vacancy) each time a position becomes vacant. This form requires more specific information about a particular job within a job classification, the hours one is expected to work, skills needed, and the amount of public contact involved in that position.

Only some areas have detailed job descriptions. Questionnaire results revealed that most library employees were not shown a copy of a job description when they applied for their jobs. Less than half of all employees now have a copy of their job description.

Brief job descriptions have been prepared for each associate staff position. These were done by the Assistant Directors, with varying inputs from their respective staffs. In most cases, the individual involved was shown the description that was to be submitted, but was not given a copy

of it.

Approximately two thirds of all library system employees say that they perform duties outside their job descriptions. Several staff members stated that performing other duties makes a more satisfying day or keeps the time from dragging. However, there is some resentment about no credit being given for performance "above and beyond the call of duty". There is also some questioning of the "other duties as assigned" phrase, which is seen as a protection which allows supervisors to extend duties as they see fit.

Of those holding job descriptions, one third report that changes have been made in that document. In addition, one fourth don't know if their job description has been changed. Many revealed that while the description remained the same the duties of the job had expanded. Participation of employees in changing the job descriptions is uneven from unit to unit. Some assisted in forming new descriptions, while others were informed of changes only after alternations had been made.

In the area of training, this Task Force assumed that this topic was dealt with in detail by other Task Forces. Our questionnaire indicated that a majority of employees do receive information regarding quality and quantity of work expected of them. In some areas use is made of training manuals, but the quality of these varies widely.

F. Performance Reviews

The UMCP Personnel Office stated that the purpose of the annual performance review is to ensure communication between a supervisor and an employee once a year. The two management levels in the library system see the purpose of performance reviews in much the same light. Most indicated it is used to *"let people know where they stand"* and to point out *"areas of excellence and areas that need improvement"*.

The standardized form for classified staff is received by the library system from the UMCP Personnel Office and is distributed to unit heads for preparation. The associate staff performance review forms originate in the library system administrative office and are blank forms requiring the supervisors to comment about performance of each employee. (See Administrative Memo no. 27A). After preparation, the form is discussed by the supervisor and the employee and signed by both. This form is sent to the library system administrative office, and is one of the resource tools used by the library system administration in determining annual salary increments for associate staff employees.

The Associate Director stated that guidance on performance evaluation was provided in general memos. Other members of top management said that some consultation was given, and that new supervisors are oriented to the forms. Half of middle management has received guidance in filling out the forms, most of it ...ing in the area of definition of terms.

Performance evaluations are based on observation of work quality throughout the year. However, there is great inconsistency as to which

qualities are considered (*e.g.*, attitude, work-related activity, reluctance to be severe).

A great majority of unit heads and staff feel that the performance review is a means of communication. Eighty-one per cent of the staff feel encouraged to question their performance evaluation. However, two general trains of thought appeared frequently in comments: (a) that the ratings are a waste of time, insignificant, and unimportant and (b) that the on-the-spot conference with no opportunity to review ratings beforehand is not conducive to raising questions and communicating openly and freely.

All but one member of top management had objections to the wording of the evaluation form for classified staff, and ninety per cent of middle management felt likewise. The major objection is that the form does not apply to library work, and that it lacks definition of terms. Opinion of the associate staff form is not much higher, with the major objection being that it is *"too unstructured"* and *"too subjective"*. Several suggested a need for guidelines to better ensure uniformity of evaluation. At least three different groups within the library system are working on improved evaluation forms. The Conditions of Employment Committee of Library Assembly is developing a librarian's service report, goal setting forms, and evaluation forms for associate staff. The Undergraduate Library Reference Department has developed a librarian's service report and a goals setting form and is working on a peer review system. An *ad hoc* committee, headed by the library system Administrative Assistant, has reviewed terminology of the classified evaluation form and is pursuing the possibility with the UMCP Personnel Office of developing a new form.

G. Personnel Records

The UMCP Personnel Office keeps records only on classified employees, and after two years these records are sent to a central storage warehouse. Included in the file is information generated by that office about employees such as applications, test scores, termination notices, information about grievances which reach the third step, *etc.* Access to the files is controlled by the Director of Personnel with the personnel officers in his department having access only through him. An employing department may have access only to the records of its employees, and an individual employee may have access only to his own file. Outside agencies may be granted access to information in the file by the Director of Personnel in order to verify information by the use of the file.

More complete personnel files are housed in the library system administrative office. This file usually contains the following: application and/or resume, letters of appointment, evaluations, letter of resignation and termination information. In addition, letters of commendation, letters of reprimand, leave records, and other minor correspondence which has been forwarded to that office might also be included.

Other personnel files exist in some units. The extent of these files varies from unit to unit, but they are usually viewed as *"working files"* to be used in preparing performance reviews, recommendations, or as a source of information.

There is little agreement about access to personnel records even among top management. There is no written policy as to what records are kept, who has access to them and how, or guidelines to units as to what should be forwarded for inclusion in this file. Most middle management interviewed did not know what is kept in the library system personnel file or what is the access policy. Material to be forwarded for inclusion in the file varies from unit to unit.

H. Compensation

Rates of compensation for classified staff in the library system are set by the University in the Table of Standard Salary Grades and Biweekly Rates as approved by the State of Maryland Secretary of Personnel. These rates must meet the minimum standards of pay as set by the Autonomy Act. Entrance into a classification must be at the beginning rate unless, upon recommendation of the Director of Libraries, a higher step is recommended - this is not to exceed the fourth step. The University salary table closely follows the State scales, with exceptions made where the University has classifications which exist no where else in the State, *i.e.*, Library Assistant. Annual increments are automatic and are specified in the salary table.

Salary ranges for the associate staff are determined by the Chancellor of the UMCP. Each staff member is considered once a year for a merit salary increase to be effective July 1st, with the control being the annual budget allocation. The Director of Libraries receives a lump sum for salary increases. After campus guidelines on increases are met, he may allot the remaining money for additional increases. The Associate Director reviews the performance evaluations and prepares a list of suggested salaries for the associate staff. Each Assistant Director is sent, for review, the suggested salaries for those in his department, but further consultation with supervisors varies from department to department. The Director of Libraries' final recommendation is submitted to the UMCP Administration for approval.

A majority of middle management makes recommendations for salary increases for associate staff members in their areas, with most citing the annual performance evaluation as the vehicle for that recommendation. Some feel that it is important that recommendations come from the unit level; others, however, are dubious about their effect. While some unit heads have been contacted this year by their Assistant Directors about salary increases, half of that management level did not know how salary increases are determined, or feel that it is done arbitrarily or haphazardly.

I. Promotion and Transfer

Promotion for both associate and classified staff as described in Administrative Memo no. 45 is defined as a person moving into a position at a higher salary scale. Applying for a promotion follows the same procedure as initial entry into the system. The process of transfer to a position of equal level and salary is the same as for promotion.

However, within one department and one unit, an administrative decision has been made allowing lateral movement (within that department

or that unit) to a vacant position with the consent of the supervisor and the employee involved; normal hiring procedures do not apply. Instead, interviews are held for the last vacated position rather than for the original position from which an employee resigned.

Seventy-five per cent of the staff report that they learn about vacancies in the library system from the vacancy list. In one area, more so than others, employees depend upon their own initiative to learn of openings, indicating that the vacancy list is not always available in that area.

There is widespread belief that staff members do not all have the same opportunities to advance. While a majority of top management believes that opportunities to advance are the same for all, eighty-two per cent of middle management and seventy-one per cent of the staff do not agree, with several stating that there are not adequate promotional steps available. Fifty-one per cent of the staff feel they are presently occupying "dead-end" jobs. (Dead-end jobs are those that do not have tasks and responsibilities that will give the holder of the position opportunities for promotion). Several expressed misgivings about the fact that once the top of the classified salary scale was reached, one had nowhere to go. Most of the administration agree with the concept of promotion in rank. A majority of middle management overwhelmingly supports the idea, with most of that level feeling very strongly that it should be instituted.

Several types of discrimination were cited with regard to advancement: sex, marital status, education, race, nationality, and "those who don't toe the line" or are "involved in union activities". Some feel that chances to improve one's skills are not encouraged by the administration, and that favoritism and the unit in which one works play a role in advancement opportunity.

J. Resignation and Termination of Employment

Resignation for members of the classified staff requires at least two weeks written notice to the Director; four weeks notice is required for associate staff. Exit interviews take place in some units, but not in others. This is often an informal discussion in which suggestions are made for improving the job or department. Only one department conducts a formal termination interview.

K. Library Employee Organizations

1. Library Assembly

The membership of the Library Assembly consists of all employees of the library system holding the rank of Associate Librarian I and above, and those holding positions designated as professional by the Director of Libraries. Officers are elected by the membership. It provides a forum for the open discussion of problems related to library service. Several standing committees are appointed, *e.g.*, the Conditions of Employment Committee, which is concerned with the status, compensation, and rights of members of the professional staff, is the one most closely related to

personnel matters. An Ombudsman is also appointed to serve as a resource person to mediate associate staff disputes and individual grievances, to recommend actions for the resolution of problems, and to suggest personnel matters that need further study.

2. Staff Alliance

All library system staff members are eligible for membership in Staff Alliance, and approximately 200 have joined. It provides a forum for discussion of library system practices, and also organizes social activities for staff members. The Communications Committee was established to offer assistance in personnel matters and to investigate problem areas. The Orientation Committee recently published a handbook to assist in orienting new staff members. The Newsletter Committee publishes a monthly newsletter, The Other Word.

Eighty per cent of top management and fifty per cent of middle management think that Staff Alliance should be primarily concerned with aiding staff development. The majority of the rest of the staff, however, believes that Staff Alliance should primarily be an organization concerned with examining library system practices and policies and communicating recommendations to the library system administration.

L. Other Employee Organizations

1. Maryland Classified Employees Association (MCEA)

The Association has a chapter on Campus with about 1,000 members; approximately fifty members of the library staff belong. Membership is open to all State employees. The major purposes of the Association are to educate employees about available benefits, and to lobby for better working conditions, salary increases, and salary reform. A representative of MCEA will represent an employee in a grievance, if requested. Many join solely for the benefit of the insurance policy available to members of MCEA.

2. American Federation of State, County and Municipal Employees (AFSCME) (AFL-CIO)

AFSCME membership is open to all state, county and municipal employees. The Campus local reports to the Maryland State Employees Council in Baltimore, whose purpose is to organize all State employees in order to win collective bargaining rights for its members. However, the UMCP local, which has approximately 350 members, limits its membership to classified employees. Approximately 35 members of the library system staff belong to AFSCME. There are shop stewards in the McKeldin and the Undergraduate Libraries.

The shop stewards interviewed said that they see the purposes of the Union as defending the rights of its classified employee members, and educating all employees about its work for better wages, better working conditions (through the use of the grievance procedure, if necessary), and lobbying efforts in support of progressive legislation. An insurance

policy is available to members and a newsletter, AFSCME IN ACTION, is published.

M. Unionization

According to a UMCP Personnel Officer, the State of Maryland has no enabling legislation which would permit the recognition of any union as an official bargaining agent for State employees. The University follows this State policy. However, unofficial recognition of unions has occurred in both the State and at the University. Since the University does check-off union dues and the Governor of the State negotiated with union representatives unofficially two years ago, some limited form of recognition could be inferred from these acts. In addition, State employees have been permitted to have union officials as counsel in grievance situations.

Three-fourths of both top and middle management feel that the presence of unions would not necessarily improve employee relations. Two-thirds of both managerial levels also think, however, that the presence of a union would not constitute a threat to work efficiency in the system. A large majority of both management and staff agree that the following reasons for joining a union are applicable to a library: desire for (a) better working conditions, (b) self-expression and communication with top management, (c) job security, and (d) protection from arbitrary management decisions. There is, however, disagreement on the question of whether union membership results from the desire of a small group to stir up an otherwise satisfied work force. Eighty-three per cent of top management and forty-five per cent of middle management think this would apply, but only twenty-eight per cent of the rest of the staff think so. Members of top and middle management stated that they don't know enough about unionization in libraries to comment on it.

N. Administration of the Personnel Function

Sixty-four per cent of all staff members say that they were informed of personnel policies and rules when they began employment. However, there seems to be an inconsistent introduction to the system. While several state they were given the Yellow Book and *"a great deal to read"*, others found that information was incomplete, forthcoming only when they asked questions and that *"particulars require digging"*.

At present, eighty per cent of the staff receive personnel policy information regularly or fairly often. While the survey shows that availability of information is relatively adequate, several commented about the wording of memos and the resultant confusion and lack of clarity. In addition, there are complaints from both middle management and the staff about the scarcity of University policy information.

Information on library system personnel policy changes is officially most often either announced through units or disseminated via a combination of means (circulating and/or posting, *etc.*); the grapevine is also used, and staff comments indicate that such information is not always disseminated. In most units routine changes are circulated/posted, while more complex policy changes are discussed in staff meetings.

A majority of both top and middle management feel that work efficiency is encouraged by library system personnel practices; forty-nine per cent of the staff agree. Staff members feel that there is a lack of trust, and that "aloofness of top management" adds to poor morale, which in turn keeps efficiency at a minimum.

A majority of top management feels that present personnel programs and techniques contribute to good employee relations. On the other hand, three fourths of middle management and two thirds of the staff do not feel that this is the case. A large number of employees asked what *"programs"* and what *"techniques"*? Several believe the atmosphere within their particular unit encourages good employee relations, but that efforts of top management do not.

O. Staff Relations Within the Work Environment

Staff meetings are held on a regular basis in half of all units, while in the others they are held irregularly "as needed". Most unit heads view the purpose of staff meetings as communication, but with varying emphasis. Some see meetings as a way of "distributing" or "passing on" information, while others emphasize that it is a "two-way exchange of business information".

Most unit heads do not prepare and distribute agenda prior to staff meetings. All feel that staff members are encouraged to raise questions and complaints at meetings. A number of unit heads prefer to communicate on a one to one basis or on a smaller scale than meetings for the entire unit.

Virtually all of middle management and the staff feel relatively free to disagree with their supervisors or discuss policies and procedures with which they disagree. However, many feel that while they have a supervisor who welcomes opinions, their particular situation is not typical. In addition, a fairly prevalent feeling is that disagreement *"doesn't get you anywhere"* and that one's *"opinion is not of concern"* to the supervisor.

Approximately two thirds of the staff regularly or fairly often suggest or try out new ideas on the job. However, middle management feels a much greater propensity to suggest or try new procedures, since approximately ninety per cent do so on a regular/fairly often basis. Comments such as *"suggestions are well received"* and *"I'm encouraged to contribute"* support the generally positive feeling, but some statements indicate that initiative is not encouraged.

P. Personnel Function and Staff Relations in the System

All members of top and middle management state they have faith that staff members have the capacity and willingness to direct activities toward library system goals. In addition, all members of the administration believe that their responsibility for employees goes beyond conforming to laws concerning work conditions and payment of a fair wage.

Approximately eighty per cent of top and middle management believe that dealing with human resources is an important responsibility. There

is a feeling on the part of middle management, however, that the administration does not really hold this belief. Most of top management state that they give human values, motivation, and attitudes priority in the formulation of personnel policy; three-fourths of middle management believe that these factors are not considered by the administration. Finally, while most of top management believe that they provide an environment that encourages staff interest and initiative, middle management does not feel that this is the case: over eighty-two per cent of that group believes that the administration relies on authority to achieve cooperation.

On these two points, seventy-five per cent of the library system staff responded that the administration (a) does not give priority to human values and attitudes in formulating personnel policy and (b) relies on authority in its dealings with staff members, rather than encouraging employee initiative and interest. Several staff members commented to the effect that *"human beings are the last consideration"* when new policies are formulated.

Almost all of top management state that they give a great deal of attention to the aspirations and psychological needs of employees as well as to inspiring a sense of significance in the work; both middle management and the staff feel quite differently on the subject. Over three fourths of middle management responded that top management gives little or no attention to inspiring a sense of significance in the work; similar feeling is expressed by a majority of the staff. Employees state that library system goals and objectives are not clear, which hinders a sense of significance in work, and that little positive feedback occurs. The staff feels that top management *"ignores"*, gives *"little priority"* to, or is *"oblivious"* of employee needs, other than those related to work production. Several staff members express the opinion that a sense of work significance, if it exists at all, must come from within the individual.

Members of the administration characterize work atmosphere and morale as varying from area to area - generally good, but something that requires constant work. There is a belief that involvement in MRAP has produced a *"spirit of hope"* in the staff and a greater understanding of the system and its problems.

On the other hand, over half of the members of middle management who responded to questions regarding work atmosphere and morale in the library system voiced their criticism of the situation. They expressed a need for more respect and trust among all levels of the library system staff, and for more evidence of a creative and supportive attitude on the part of top management. Also, many said that more contacts with administrators, including informal visits to the work areas, might reduce tensions.

In the eyes of middle management, it is of prime importance that the library system leadership create among the staff, through openness and communication, a sense of purpose and a feeling of participation in the decisions made to implement policies designed to attain library system goals.

The large majority of the administration and middle management believes that staff members are not regarded impersonally and that staff members are treated as individuals and respected as people. However, approximately half of the staff believe that employees are regarded impersonally by management, and that they are not treated as individuals and respected as people. Perception varies from area to area. Many believe that top management does regard staff impersonally but that their unit heads do not. Quite a few said that while it doesn't apply to their unit it does in other areas of the system. The most prevalent expressions are that staff members have extremely little contact with top management, and that the library system administration wouldn't know them *"from any other person on campus."* Ninety-one per cent of all employees feel that they are respected as people by their supervisors and ninety-nine per cent are satisfied with their treatment by co-workers.

Interviews with both levels of management indicate that, with the exception of one department, the administration offers very little guidance to unit heads on personnel practices, and that what guidance there is is quite sporadic. In addition, assistance is almost always requested rather than offered and is given on a specific policy or practice rather than on a systematic, regularized basis.

At UMCP, of those who report having had a personnel problem, only four per cent had a satisfactory resolution. Comments indicate a feeling that very often problems are only semi-satisfactorily resolved, and that much of the resolution is achieved through the iniative of the employee following a failure of management to respond adequately.

Staff members revealed they have been able to get very little assistance from the library system administrative office in attempting to resolve a personnel problem. There is a feeling on the part of staff members that the administration is unwilling to listen to the employee point of view and that it either *"sides with"* the supervisor in a dispute or has *"ready answers"* about how the administration views the point in question.

Q. Grievance Procedure

A formal grievance procedure for classified staff and associate staff is established in the two personnel handbooks. All matters concerning discipline, promotion, suspension, assignment, or interpretation or application of University rules and departmental procedures over which management has control may be a source of an employee complaint or grievance. Management is unanimous in its expression of the belief that a formal grievance procedure is *"absolutely necessary"* to provide the employee with a means of taking a problem beyond the level at which she/he is not satisfied.

Staff members seem to look at the grievance procedure only as a last resort, and there is a widely held belief that a grievance has very little chance of bringing satisfactory results. However, approximately three-fourths of the staff stated that, if they were being treated unfairly or their rights were being violated, they would either not hesitate at all

to file a grievance or would be only a little reluctant to do so. While a majority of the administration states that such action as filing a grievance would not be held against an employee, fifty-seven per cent of middle management and seventy-nine per cent of the staff believe that this action would be held against an employee in the seeking of promotion, transfer, letters of recommendation, *etc.*

Staff members who have filed grievances and who were interviewed on the subject express dissatisfaction with the experience, stating that those hearing the grievance seem to be unwilling to look at both sides of the problem. Because of this feeling, they believe that an employee will not receive a fair hearing and that the problem will not be judged impartially. The thought was expressed that filing a grievance could be a *"very constructive way of communicating,"* when the employee has a real sense that she/he has been wronged.

II. ANALYSIS

A. Placing of Personnel in the Library System Organization

The current job market and the student population of UMCP bring a wealth of applications to the library system for vacant positions. This occurs for both classified staff and associate staff. This is seen as a strength enabling selection of the best qualified candidates with the most potential for growth.

However, in filling classified positions, the library system is limited to a great extent to the candidates identified by the UMCP Personnel Office. Communications between the library system and the Personnel Office are not sufficiently formalized, allowing gaps in the flow of information. There is too much reliance upon personal contacts, which could result in a weakened relationship, should responsibilities in the positions or people holding the positions change.

For associate staff, efforts are focused on local library schools and tend to bring candidates with similar philosophies toward librarianship. In addition, there is a heavy reliance upon personal contacts of library system administrative personnel, which may result in the perpetuation of staff in its own image. Also, lack of travel funds is stated as an obstacle to broadening contacts.

Selection committees are positive factors in broadening the outlook in the selection of candidates. However, they do not have representation from the classified staff, who also are directly affected by the persons chosen to fill vacancies. Search committees also are seen as positive influences on the selection process.

B. Affirmative Action

The affirmative action program should be considered as an aggressive minority hiring, training, and promotion program which, upon completion, would result in equal and fair employment policies, with distribution

and influence of minority employees throughout all levels of the library system. At some point in the future, the result of previous policies (which, in effect, were discriminatory) will have been reversed, and normal procedures could resume. This new make-up of the library system personnel, one of cultural and social diversity in all levels of management as well as of the staff, should result in equitable hiring and promotion.

At present, there is a lack of understanding on the part of most staff members as to the purpose of this policy and why it is critically important. The library system's affirmative action program is adequate, but lacks force of implementation. The program as it stands is based on hiring of minorities (number count) rather than on the benefits to the library system. Work atmosphere, cultural perspective and input, and a representative appearance to the student and faculty library system user would be achieved by diversity among the staff.

Initial weakness in the implementation is seen in the method of recruiting staff with its limited announcement of vacancies and lack of advertising. The many levels in the interviewing and weeding process permit any negative attitudes toward minorities to undermine affirmative action without knowledge of top management or appropriate enforcement of the program. The lack of training in good interview techniques may hinder the identification of excellent qualities or potential for growth in a candidate.

Because the library system has not achieved a representation of minority employees in proportion to their number in the metropolitan area, and because it has not achieved representation at managerial levels, there is inadequate input into the practices of hiring and personnel administration. There are few minority employees, hardly any on an associate staff level and none on a management level; the number of minority employees has not appreciably increased since the promulgation of the plan in 1972. Many minority employees in the library system feel that they have been treated fairly and have faith that the system can work. Others have indicated that the library system's administration is not necessarily committed to the principle of affirmative action. In addition, the library system is viewed as discriminatory in its personnel practices toward women in regard to promotion and flexibility of schedules. Although the library system staff is predominantly female, six of the seven members of top management are men.

In summary, there seems to be an inconsistent manifestation of commitment on the part of top management. It is top management's responsibility to consistently, visibly, and aggressively direct its commitment and the principle of affirmative action to every level and aspect of management. To this extent, the library system's affirmative action is to be considered a failure.

C. Workforce Planning

The work of various committees and staff members to contribute to

decisions regarding projects, workloads, and inter-departmental operations is seen as a strength. Examples are the library system's Advisory Committee on Library Automation, the Circulation Coordinating Committee, the Mathematical and Physical Sciences and Engineering Division Adjunct Committee on Libraries and the library system-wide reference services staff meetings. There is also a well-educated work force which is eager to participate in planning for efficiency in library system operations and quality of service. A recent staff profile illustrates the wide range of knowledge and skills which the members of the staff possess. It also indicates a faily stable work force.

However, there is a lack of system-wide coordination for projects, workload, and staffing requirements, and a sense of isolation by those who carry out the operational functions of the library system from those who make decisions about what is to be done. There is also a lack of understanding by many of those responsible for planning work force requirements of the long-range plans and goals of the library system.

D. Job Descriptions

There is evidence that more staff members are becoming aware that the job description is relevant to one's job. However, there is great inconsistency throughout the system with regard to the existance, use, and availability of this document. Jobs change, and there seems to be a realization on the part of most unit heads that an employee should participate in formulating the new job description when changes occur.

E. Performance Reviews

There is a great deal of confusion about the definitions of terms on the classified rating form and also about what is meant by each of the ratings. This confusion plus little guidance on evaluations has led to inconsistent ratings. These problems have produced strong negative feelings about the rating form for classified staff.

F. Personnel Records

The perceptions of both top and middle management about (a) the policy of access to personnel files, and (b) what exactly is in those files are contradictory and uncertain. As a result there is little consistency in what unit heads forward to the library system's administrative office for inclusion in employees' files.

G. Promotion and Transfers

The vacancy list is a good means of informing staff members of job openings. However, there are not enough opportunities for promotion. In terms of promotion in rank no recognition is given for continuous and substantial professional growth and development for the associate staff. Motivated by recognition in this way, the quality and quantity of work would be enhanced.

Transfers are handled uniquely in one area of the system where an

administrative decision to allow transfers within the department permits jobs to be filled without open competition. In that area, this cuts in half the number of jobs for which there is open competition.

H. Staff Relations in Work Environment

There is a feeling throughout the library system that employee relations within one's own unit are good, but that relations elsewhere in the library system are not as effective. This positive feeling within individual units is a potential strength if properly channeled; however, that same feeling could be a weakness if staff members are attached too closely to their unit and thus do not identify with goals of the system.

Throughout the system, staff meetings are a good form of communication, particularly in those units where two-way communication takes place. Small unit meetings allow more free interchange of ideas; larger unit meetings allow employees to see the broader picture of an area's goals.

With regard to communication with supervisors, there is a paradox at work in the system: a great deal of perceived freedom to discuss and disagree with the supervisor on the one hand and a feeling that one's opinions don't count for much on the other. Attempts to reconcile the two perceptions would, it seems, accomplish two things: (a) they would prevent the type of employee frustration which occurs when she/he feels that input is discouraged or, if accepted, is not considered, and (b) they would, in reverse, create the reality, not merely the illusion, of involving all staff members in the library system's operation.

It appears that top management is isolated and unaware of the effect of its actions and policies. On the one hand, members of top management say that they believe the following: that human values are given priority when policies are formulated, that staff interest and iniative is encouraged, and that employees are shown respect and are not regarded impersonally. On the other hand, the majority of the staff simply does not believe any of this is true.

This conclusion regarding top management's isolation and unawareness is also supported by evidence of how personnel problems are *"resolved"*. In most cases they aren't: the administration doesn't acknowledge either that a problem exists or the possibility that the staff member may have a legitimate complaint. This attitude of top management, in too many cases, forces the use of confrontation, with the consequence that relations are too often characterized by a hostile atmosphere not conducive to just resolution of problems.

Finally, members of top management say that dealing with human resources is important. However, terms such as *"vindictive"*, *"exploitive"*, *"repressive"*, *"humiliating"*, *etc.*, are often used by staff members to characterize administration-employee relations. This suggests that the administration's actions do not match what it says. The atmosphere in the library system is at present an unhealthy one: it is conducive to neither fulfillment of organizational goals nor the achievement of employee well-being.

I. Unions

In management, there exists a great variety of attitudes and opinions as to unions, ranging from willingness to accept the idea to total rejection. There is an admitted lack of knowledge on both levels of management with regard to unionization in libraries. In addition, there is very little communication between AFSCME shop stewards and management, with some hostility existing in the situation.

III. RECOMMENDATIONS

A. Personnel Officer

This Task Force recommends that:

1. a Personnel Officer be appointed whose only duties would be the administration of personnel policies and practices. This officer should be trained in personnel administration and does not necessarily need to be a librarian. A position could be transferred from elsewhere in the system when more effective work force planning exists

2. the office be located outside of the administrative suite to allow confidentiality for the staff who wish to consult this Officer

3. a classified employee be assigned to this office in order to adequately represent this large segment of employees. Adequate staffing is also necessary in order to respond to the extra applications created by a wider recruitment effort to be recommended later in this report

4. the functions of this Officer be similar to those outlined by the Committee to Define the Duties and the Qualifications of the Chief Personnel Officer of the University Library, University of Chicago:

"The logical and traditional role of the personnel officer is to reconcile, in the best and most creative way possible, the interests of people with the goals of the organization. In performing this role the personnel officer has typically collected or been assigned responsibility for a number of activities:

1. Manages the business operations of the personnel office.
2. Maintains consistent, careful employee records.
3. Serves as a resource on currently available tools and programs in all areas of personnel management and supervision.
4. Monitors classed, equitable pay plans.
5. Collects information regarding wages, benefits and employee development programs at comparable institutions.

6. Participates in the establishment and maintenance of a system of job descriptions.
7. Ensures that performance evaluations are fairly and equitably carried out by managers.
8. Monitors equitable systems of intra-institutional transfers.
9. Consults with managers in regard to appointment, evaluation and termination procedures; participates in the process of carrying through these procedures.
10. Identifies future manpower needs and develops programs to insure that these needs will be met.
11. Participates in the establishment and maintenance of staff orientation programs.
12. Coordinates and encourages staff development programs.
13. Coordinates a program of staff recruitment and monitors its effectiveness with respect to equal opportunity/ affirmative action programs and other legal requirements.
14. Recruits and screens candidates for Library positions, and refers them to managers.
15. Develops informally or systematically an awareness of good people in other institutions who may become available or who may be recruited as needs arise.
16. Nurtures good working relationships with other University offices, for example, the University Personnel Office, Career Counseling and Placement, the Graduate Library School.
17. Communicates, interprets, and administers personnel policies provided by the University Personnel Office, and the Library.
18. Identifies areas that require personnel policies, and assists in their formulation.
19. Serves as a counselor in two respects; some staff members will use the personnel officer as a resource person for personal needs, for example emotional, medical or financial needs, or for articulation of career directions or opportunities. And, even though separate grievance machinery may be provided, the personnel officer may often play a role as a neutral party to the resolution of grievances."

B. Placing Personnel in the Library System Organization

This Task Force recommends that:

1. the library system complement the efforts of the UMCP Personnel Office, and seek applicants who meet the system's special needs for skills and for diversification of staff members

2. the vacancy list be sent on a regular basis to appropriate off-Campus locations

3. the library system should draw up a statement on policy of hiring, excellence of staff, potential for growth, commitment to diversification in the staff, and to affirmative action, in order to

guarantee consistent efforts on the part of the Personnel Office and the library system

4. a detailed job description be included with each request for recruitment

5. recruitment efforts for associate staff be more aggressive. More library schools should be contacted, particularly within a radius of 200 miles. This would incur reasonable travel expenditures on the part of candidates. Other avenues of recruitment should be utilized

6. the Director of Libraries request that a study be done by the Library Assembly Executive Board to investigate the possibility of seeking representation of the classified staff on each selection committee

7. the entire staff be notified when a search committee is being formed and be asked for suggestions as to its membership

8. all people involved in the hiring process receive training in interview techniques, if they have not already received it, and this this training be conducted by an outside expert

9. a form which identifies qualities being sought in a candidate should be prepared and used throughout the interview process and for information in filling out the Employee Selection Report

C. Affirmative Action

This Task Force recommends that:

1. the staff be educated to the purpose and benefits of a successful affirmative action program. Top management must continually provide guidance, incentive and direction to middle management to enforce the principles of affirmative action

2. the library system publish an affirmative action statement of intent since it is essential that the local population and library communities know of the UMCP library system's commitment to affirmative action. It need be published only once, but simultaneously and prominently in all local newspapers, campus newspapers, library schools which have programs to attract minority and black students, and appropriate library journals. In this statement the top management should explain data concerning employment: salary ranges, availability of jobs, general job descriptions, and an expression of commitment to hiring minorities while still hiring the best available applicants

3. regular channels be developed to guarantee input into library system personnel practices. We recommend that the roles of the EEEO Officer and Committee be re-evaluated and reorganized to

become active and critical forces in the evaluation of management's involvement in the affirmative action program

4. that more representation by women be evident in the top decision-making positions in the system and that the status of women in the library system be investigated. In addition, it recommends that a study be initiated to examine problems concerning child care needs, flexible working hours, four-day weeks, and more part-time employment.

D. Work Force Planning

This Task Force recommends that:

1. a systematic process be developed for input by members of the library system staff in determining the goals and priorities of the system, with a better understanding of the needs of the library system

2. after staffing decisions are reached, a thorough explanation be presented to each unit

3. a system-wide study, with analysis of each position, be undertaken to establish personnel requirements. This should be based upon long-range plans and goals. Redeployment of current staff members should be a consideration in this study. Any staff member involved in a change of position should share in the planning. The study should explore ways to quantify, compare, and evaluate workload and service levels, with the goal of proposing tools to assist in evaluating manpower needs.

E. Job Description

This Task Force recommends that:

1. there be a written job description for each position within the library system with one copy for the employee, one for the supervisor, and one for the administrator responsible for hiring, so that each candidate will be shown a copy when she/he applies

2. the job description include the following: job title, skills required, duties performed, duty priorities, and supervisor's title. The job description should be signed by both the employee and the supervisor

3. there be a written policy as to the purpose of the job description. Also in this policy should be an explanation of the phrase *"other duties as assigned"*. Finally, the policy should state that, when a change in a job description is made, the employee will participate in that change

4. there be a systematic reevaluation of each job description;

perhaps this could take place at the time of the performance review. This would establish what is expected in the coming year and, when that year is up, would serve as a basis for the performance rating.

F. Performance Review

This Task Force recommends that:

1. the classified performance evaluation form be changed to better represent library system related tasks

2. staff members, after being rated, be given a copy of the rating sheet

3. performance review forms for associate staff be altered to reflect evaluation of predetermined mutually established goals. There should also be more structure to this form

4. there be a written policy that all evaluations be done by the immediate supervisor and that the conference about the ratings be participated in by the immediate supervisor. The employee should be given an opportunity to review the ratings in private prior to the conference. The policy should also call for the employee to assist in determining the *"importance"* section of the review form in the case of classified employees.

G. Personnel Records

This Task Force recommends that there be a written policy concerning personnel records which would include the following points: (a) what standard records are kept, (b) who has access and how, (c) what is to be forwarded to the library system administrative office for inclusion in the file, (d) how long files are kept, and (e) what is forwarded to the UMCP Personnel Office.

H. Compensation, Promotion, Transfers, Resignation and Termination

This Task Force recommends that:

1. more information be given to all associate staff employees on how salary increases are determined. Consultation with unit heads in determining salary increases should be automatic. There should be a written policy on how recommendations are made for salary increases. This could be part of the performance review form

2. a brief description of each job be included on vacancy lists (qualifications and description of tasks)

3. promotion in rank should be instituted and implemented

4. all transfers in all departments follow the normal transfer

procedure as stated in Administrative Memo no. 45

5. termination interviews become an accepted practice in the library system and that all supervisors be given training in conducting this type of interview.

I. Library Employee Organizations

This Task Force recommends that:

1. the Library Assembly be encouraged to assume more responsibility in the areas of library system services and personnel practices

2. members of the system's administration recognize that the majority of the staff believes that Staff Alliance should be concerned with library practices, and that they actively listen to ideas, concerns, and recommendations of the members and of the committees of Staff Alliance.

J. Staff Relations within the Work Environment

This Task Force recommends that:

1. staff meetings be held in all areas on a scheduled, periodic basis

2. efforts be made to prepare agenda prior to meetings, with input into their preparation from all staff members involved. The agenda should be circulated before meetings

3. instruction in group dynamics and interpersonal relations be given to all staff members, particularly those in management positions

4. the forms of communication take varied means: (a) increased encouragement to Library Assembly and Staff Alliance to take an increasingly active role in determining library system practices and policies, (b) increased effort, through staff meetings, committee work and the like, to educate all areas and units about library system objectives in order to prevent territorial loyalties which work to the detriment of the system (c) increased willingness to listen to employees and not just supervisors when personnel problems arise, and to make an attempt to resolve those problems in the manner which is most fair for all concerned (d) increased communication through an effective system of passing information down the line and (e) Administrative, Reader Services, Technical Services memos succinctly and clearly written so that they may be understood easily at all levels.

K. Unions

This Task Force recommends that members of both top and middle library system management become familiar with the growing amount of literature on unions in academic libraries.

REPORT OF THE

TASK FORCE ON

GENERAL MANAGEMENT

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INTRODUCTION

Peter Drucker has written that the managers of our major institutions have become the leaders in every developed country and in most under-developed countries as well. In fact, he maintains, the only leadership groups to emerge in this century are managers, including those in universities. Within the management group, the tasks of the top level of management differ fundamentally from the tasks of other management groups: they are multi-dimensional, recurrent but intermittent, and they make different and often conflicting demands on personality and temperament.

In the academic library, the top level of management is expected to provide the direction-setting, vision-setting, and standard-setting. It, too, has specific tasks and requires its own organization. Some of its tasks include thinking through the mission of the library, setting examples, developing tomorrow's top management, and maintaining relations with groups outside the library. These and other tasks distinguish the top level of management as a distinct kind of work. The tasks of top management will not get done effectively unless it is first recognized as a distinct function, and is then organized as such.

Drucker has also pointed out that managers of institutions are collectively the leadership group who owe their authority and standing entirely to their institutions. It is therefore, somewhat misleading to speak of managers as "leaders": they are instead "members of the leadership group."

The Task Force on General Management concentrated its efforts on studying the leadership, coordination, and communication within the UMCP library system, with specific emphasis on the top level of management. Recognizing the leadership role of this group, this Task Force has chosen to refer to it in this report as the "executive leadership group," or "executive leadership" for short, and to individuals as "executive leaders."

The description, analysis, and recommendations in this report are based on a study of management principles, a review of interviews and reports from other Task Forces, and additional interviews with the members of the Library Cabinet and numerous members of the library staff.

I. DESCRIPTION

A. Executive Leadership and Coordination

1. External Constraints

According to previous Task Force reports, the executive leaders are hampered by the UMCP Administration's lack of recognition of the library system's role in the total educational process. The library system traditionally has been taken for granted. Budgets and personnel policies are controlled largely outside the library system. The Administration, and in particular the Vice-Chancellor for Academic Affairs, provides the main channel for the transmission of information, decisions, policies, goals, and other communication to the library system. The Senate's Adjunct

Committee on Libraries and Instructional Aids advises the Director of Libraries on policies to be implemented by the library system. As pointed out in other Task Force reports, the Director is also constrained by his lack of information on University planning and policies, and present and future academic developments.

2. Executive Leadership

Executive leadership in the library system at UMCP is the responsibility of the Director of Libraries, the Associate Director, four Assistant Directors, and the Head of the Undergraduate Library (UGL), who collectively make up the Library Cabinet. The Cabinet meets weekly.*

One description of the role of a library director is that he *"takes the lead in identifying and considering issues, initiating action, and following through to the needed conclusion."* (Webster) The UMCP Director of Libraries sees his role as providing leadership for the entire library system through the Cabinet. As head of the Cabinet, he views himself as a uniting force. At Cabinet meetings he conveys decisions and announcements for the Assistant Directors to carry out and to communicate to the staff, receives reports, and requests information and recommendations on problems from each library division.

As part of his leadership role, the Director acts as liaison between the UMCP Administration and the library system. He is the *ex-officio* representative (with vote) of the library system on the Senate's Adjunct Committee on Libraries and Instructional Aids, where he has most of his contact with the University community.

Some members of the Library Cabinet view the Director's leadership style somewhat differently. The Director was viewed by some members of the Cabinet as at times being slow to make decisions and reluctant to coordinate the different divisions within the library system. The majority of Cabinet members see a need for more decisive leadership.

The Associate Director is a staff officer rather than a line officer. His areas of responsibility are personnel, purchasing, and physical plant. He also acts as Acting Director of the library system in the Director's absence. As a staff officer, the Associate Director is functionally an advisor to the Director. The Director says he shares with the Associate Director his involvement in all areas of the library system. The Associate Director serves as secretary of the Library Council, secretary of the Library Cabinet, and, although he is not officially a member, he regularly attends the meetings of the Senate's Adjunct Committee on Libraries and Instructional Aids, and serves as its secretary. In addition, it appears he has been appointed chairman of various *ad hoc* committees more frequently than other executive leaders. In the Cabinet, the Associate Director sees himself in a leavening or uniting role.

*Hereafter in this report, Assistant Directors and the Head of UGL will be referred to collectively as Assistant Directors.

The Assistant Directors' responsibilities are described in the Task Force on Organization's report, but their individual and collective leadership roles are more difficult to describe. In practice, there exist widely differing interpretations of the responsibilities of each Cabinet member - by the members themselves and by the staff. Although the Assistant Directors have equal status, the "clout" each wields is not commensurate with his/her assigned areas of responsibility. Some executive leaders and staff think the Cabinet does not function as a unit pursuing system-wide goals, but instead think that it concentrates on separate departmental areas and is insensitive to the total system.

Because of a lack of coordination by the executive leaders, coordinators and department heads feel they can set their goals and objectives to meet only the needs of their functional unit.* Interviews indicated that branch librarians feel less restricted and more autonomous.

3. Coordination Efforts

Coordination is based on the mutual dependency of organizational units and on the relationship of the library system's services to UMCP programs. The Director, as leader of the library system, has a major responsibility for coordinating all library system divisions. His major coordination efforts take place in Cabinet meetings, where Assistant Directors inform him of activities in their divisions. The Director feels that the Assistant Directors have differing responsibilities and should contribute differing points of view and information in coordination efforts; he feels that these separate viewpoints are healthy. Assistant Directors expressed a desire to devote more time in Cabinet meetings to discussion of matters affecting the entire library system. They want to take a more active role in coordinating functions with other library system divisions, but, at the same time, they do not want other Assistant Directors to interfere with their own divisions. Some Assistant Directors feel that personality clashes within the Cabinet are responsible for the poor coordination of functions between divisions. Many department heads confirmed that coordination on the Cabinet level is not effective.

Many department heads feel that coordination efforts are more successful within divisions than between divisions. Many feel they have more success in coordinating activities between their department and most other departments even outside their division, than there is if a question of coordination is taken to the Cabinet level, where efforts at coordination are far less successful.

One principle of good management is that executive leadership should contribute to the formation of constructive working relationships throughout the organization. Although the Library Council is topic-oriented, some members feel that the growing openness of the meetings, encouraged by the Director, creates better working relationships which will help in the success of future coordination efforts. The appointment of several committees that cross divisional lines is evidence of the Director's

*Hereafter in this report, Technical Services and Reader Services Coordinators and Department Heads, Head of EPSL, Chemistry, Architecture, Unit Heads in Automated Services, and Assistant Head of UGL will be referred to collectively as department heads.

efforts toward coordination and also of his attempt to create a setting where constructive working relationships can be formed.

Coordination also depends on the completeness and accuracy of information. Several of those interviewed stated that communication, especially among Assistant Directors, is fair at best, extending even to the point of one Assistant Director refusing to talk to another.

4. Decision-making Process

Most of the executive leaders think that no formal decision-making process exists. Actually, decisions are made primarily by the Director and/or Associate Director after they consult with one or more Assistant Directors or others, as they see fit.

Most people interviewed agreed that many of the executive leaders' decisions should be made at a middle management or lower level. The Cabinet frequently appears to be a decision-making body on relatively minor matters. Members find Cabinet meetings to be mainly a reporting device for decisions already made within the library system divisions. Ideas may be tossed about, but no formal decision-making occurs. Proposals are often discussed by a few members of the Cabinet privately, with tentative agreements arranged before announcing or reporting the "proposal" at the Cabinet meeting. If the announcement brings opposition or questions, the Director seeks a consensus or compromise. When signs of polarization appear, discussion is often postponed on the particular issue; some Cabinet members claim that a strong objection is necessary to postpone an issue in order to gain time to address it properly. Some members feel that this prevents full consideration of some important issues, and that time is wasted philosophizing about the same issues, resulting in no concrete goals or policy. A number of sources said that sometimes individual library staff members are discussed by executive leaders as "problems" to be handled by them. Some state that there is a lack of direction to the discussion.

Several executive leaders feel that the loose structure of Cabinet meetings, with resultant off-the-cuff or ad-lib input, is a handicap. Although the Director expects the Assistant Directors to provide input from the staff at Cabinet meetings, several of the department and unit heads say they are hardly ever consulted prior to meetings at which decisions are made. The Assistant Directors receive no agenda before Cabinet meetings. Some Cabinet members and some department heads state that without prior knowledge of topics to be discussed at the meetings, they are unprepared to contribute much supplementary information or thought-out opinion, and therefore, they do not. Some indicated that formal minutes of the meetings should be distributed to them, as a reference to information and records of decisions.

Within their own divisions, Assistant Directors are relatively autonomous. A number of staff at all levels feel that evecutive leaders at times overstep the limits of their authority. Cooperation among divisions is primarily limited to procedures worked out by department heads through necessity. Virtually everyone interviewed implied that more Cabinet level

cooperation is needed, and some criticized Cabinet members quite harshly for their lack of commitment to coordination.

The Library Council, which was started at the initiative of the Director, has not usually functioned as part of the decision-making process. The monthly meetings generally have been used by the Director as a method of communicating information or policy decisions already made to members of the Council. Within the last few months, however, a change in the role of the Library Council has been noted by several of its members: there has been more open discussion on topics considered to be germane to the successful operation of the library system.

According to the "Organizational Profile", lower-ranking staff and supervisors in most divisions of the library system feel that they have comparatively little input to decisions. Many staff interviewed think that their responses to decisions are not solicited and, if offered, frequently are ignored. Moreover, they feel that persons offering responses sometimes do so at the risk of subtle or overt retaliation by decision-makers. Several department and unit heads also complain of having little input to decisions that directly affect their areas. Based on interviews, only one division seems to have staff-wide participation in regular meetings, with minutes circulated to each person. Staff there indicate that the meetings provide them with a voice in decisions made in that division. Reports from some staff in the other divisions indicate that a few individual units have similar participation in meetings.

Some classified staff feel that their only recourse for input is to use Staff Alliance committees to initiate input. Many staff members feel that the Staff Alliance is seen by most executive leaders as troublesome when the members actively approach library system-wide issues. They feel that executive leaders refuse to consider seriously the opinions of staff organizations in general.

There is frequently a difference of opinion as to where decisions are made. For example, there is the question of who makes decisions regarding the allocation of funds for library materials - the Director or one of the Assistant Directors. The Director repeatedly has described a particular Assistant Director's role as that something akin to a comptroller, with all decisions on allocations being made solely by the Director; however, information gathered by other Task Forces and interviews with high-level staff members conducted by this Task Force, including the Assistant Director concerned, indicate that such decisions frequently are made by the Assistant Director. At the very least, there is confusion concerning this point.

B. Communication

1. Communication Between the Library System and the UMCP Community

The staff is aware of the unfavorable image on the whole that the McKeldin Libtary has had in past years. Although the executive leaders feel that UMCP library system public relations have improved, the need for still better public relations is expressed by almost everyone. The branch libraries have generally maintained a better image.

There are a number of library orientation programs for users; how, ever, there is no system-wide coordination of these programs. The Library Assembly's *Ad Hoc* User Guidance Committee studied the orientation programs in operation here and at other universities and made recommendations to the Library Assembly. Librarians are involved in library instruction - for example, the McKeldin Library Social Sciences Reference Room librarians instruct individual classes on library use at the request of the instructor, and Undergraduate Library librarians have developed instructional programs for entire courses, such as English 101. The Undergraduate Library would like to expand its instructional programs but, because of lack of personnel, will only be able to maintain the present programs. Although some programs have been developed, the library system relies primarily on individual contact in response to users' requests.

A suggestion box in the McKeldin Library provides contact between users and management. Responses to these suggestions are posted in the McKeldin and Engineering and Physical Sciences Libraries and often appear in Library News. Library News also contains informations on the library system, and is disseminated campus-wide. Suggestions for the Engineering and Physical Sciences Library are sent to that library from academic departmental suggestion boxes. The Undergraduate Library has suggestion forms at all service desks, which are answered individually by appropriate persons.

2. Communication Within the Library System

The Cabinet is the Director's main source of information and means of communication with the library system. The Director assumes that the information from Cabinet members represents valid information gathered from their departments and discussed with their staffs. Vertical communication to and from the Cabinet varies widely. Some Assistant Directors hold meetings to discuss issues brought up in the Cabinet meetings and to gather information from the staff. In many cases, however, the staff is totally uninformed with regard to the issues currently before the Cabinet, although these issues may directly affect them.

Lateral communication in the Cabinet is not always effective. As a result, information which affects the entire library system may not be adequately reviewed by all Cabinet members. No minutes of Cabinet meetings are distributed. Communication to the staff of decisions and issues under consideration is left up to the individual members, unless decisions result in the issuing of official memos. Much the same is true of the Library Council, except that minutes of its meetings are distributed to all units and circulated in some units.

Referring to library system staff organizations, the Director stated in the 1972/73 annual report: *"In the Assembly, as in the Alliance,*

there was evidence of increased interest in more and better staff participation in library management". The Library Assembly, the associate staff organization, was initiated by the Director. Its members see the role of the Assembly as an advisory voice or sounding board for the library system administration. They feel that if the resources of the Assembly are to be utilized effectively by the library system, it must be kept fully informed and consulted.

The Director feels that his relationship with the Staff Alliance could be improved. He also feels that communication has been enhanced by Staff Alliance committees, and that, in particular, the existence of the Communications Committee is good. Some Staff Alliance officers would like the Director to encourage people to use the Communications Committee as a legitimate channel for staff communication to him as well as to supervisors.

In the library system, staff meetings are left to the discretion of individual division or departments heads, and they occur inconsistently throughout the system. In some areas, the staff assesses the meeting as worthwhile, while in others it considers them boring and unproductive. One division's staff reports that staff meetings are a beneficial method of communication across lines of command. Minutes of these meetings are distributed to all staff in that division.

Coordinating sessions and departmental meetings of librarians and supervisory staff are held throughout the library system, but few of these meetings generate minutes. Some are held on a weekly basis, while others are held only when supervisors feel that they are necessary. Library Assembly and Staff Alliance are the two groups which involve the largest number of staff in the system. Staff Alliance also communicates to the staff through the Other Word, its newsletter.

The Director appoints library system *ad hoc* and standing committees which report directly to him. Some of these committees are ADCOLA, COFBOS and CODPOL, and the Circulation Coordinating Committee. Minutes of these committee meetings are distributed to the Cabinet.

Written communication is in the form of memos and minutes from committee and staff meetings. The distribution of memos varies from department to department. A majority of the staff interviewed feels that formal communication from the library system administration is often confusing. Many feel that the memos could be more concise, clear and to the point. Some pointed out that clarifying memos often add to the confusion. Unofficial communication often precedes official written communication, causing further problems.

Much library system communication is oral; many decisions from the Cabinet to the staff are communicated in this manner. Many people feel that they receive most of their information from other staff members and supervisors through oral communication.

If official communication is slow in being disseminated, unofficial word usually gets to most people first. Some branch librarians say that rumors start in their libraries because the McKeldin Library staff mem-

bers get memos before the branches do. When communications are sent through the UMCP mail service, the Undergraduate Library and branch libraries often receive them several days later. Many find the library system courier service too limited in scope. They feel it should be expanded and improved. Branch libraries report that they routinely must send mail runners to the McKeldin Library for print-outs and important memos.

Many persons interviewed feel that most Assistant Directors do not do enough to correct misinformation passing along the grapevine. Several of the staff interviewed cited examples in which their own executive leaders participated in the dissemination of information of a personal nature not related to library system operations, and noted that this often undermines the standing of individual staff members.

Some library system facilities have staff suggestion boxes, but most departments rely on conversations between employees and their supervisors. Staff suggestions are also presented at some staff meetings.

II. ANALYSIS

A. Executive Leadership and Coordination.

1. Executive Leadership Style.

As Peter Drucker pointed out, the executive leadership group is not a committee; it is a team. The team captain, the this case the Director of Libraries is not the "boss"; he is a leader. In the UMCP library system, it is the executive leadership group and, in particular, the Director and Associate Director, who set the values, standards and examples for the rest of the organization. The current executive leadership collectively offers to the library system a number of years of experience in library service. A large part of this experience was gained in the UMCP library system; only a few individuals have had extensive library experience outside this system. Most of the executive leaders gained their experience at a time when leadership in the library profession was strongly authoritarian in style. While other professions have been shifting to more effective participatory management techniques, the library profession is just beginning to change. It is in light of this historical background that this Task Force has studied the leadership style of the UMCP library system executive leaders.

Many interviewees at all levels characterized the dominant attitude pervading the library system as that of "Don't rock the boat", although some on the staff would disagree with this characterization. Many feel that authority should be delegated more effectively to the Assistant Directors. A stronger leadership image needs to be presented in order to instill in the staff more confidence in decisions. Interviews indicate that sometimes executive leaders do not correct oversights and errors on their part, and allow blame to pass to others without comment. The effect has been confusion and a lowering of staff morale.

It is felt that the Associate Director holds power

far beyond his specific areas of responsibility. Part of this power undoubtedly is due to his role as chief advisor to the Director and as Director *pro tem* in the Director's absence. Part of it may be due to the nature of his areas of responsibility; however, it may also be due in part to other positions he holds (see description of executive leadership). No one of these duties seems inappropriate for a person in this position; however, all of them combined in one person tends to focus too much power (without the concimitant responsibility) in one locus.

There is a great deal of conflict among the Assistant Directors. Although some of the conflict may be ascribed to the clash of different personalities and leadership style, a great deal of it is apparently due to a struggle for power and position. Much of this power struggle seems to result from the lack of a formal decision-making process.

The manner in which the executive leadership motivates the staff is by rewards and some actual or potential punishment. The result is that attitudes of the staff are sometimes hostile to the library system management. At the executive leadership level, there is a great deal of negative competition causing some hostile and condescending attitudes between divisions.

2. Adaptability and Cooperation Among Executive Leaders

Most executive leaders state that they are adaptable and flexible, and that they encourage experimentation. However, the "Organizational Profile" results and interviews with staff indicate that this view is often not shared by the staff.

The lack of system-wide goals tends to foster detrimental competition and "empire building" within departments. A major problem is the extent to which conflicts among the executive leaders have impaired the effectiveness of the organization. In its interviews, this Task Force was suprised by the vituperative responses of the Assistant Directors concerning their fellow Cabinet members. This Task Force feels that this condition is counter-productive.

3. Accessibility and Visibility of Executive Leadership

The Director's low visibility causes him to be unfamiliar to many staff members, some of whom claim they would not recognize him. This low level of visibility, along with the understandable tendency of the administrative office secretaries to filter contacts with the Director or Associate Director, tends to create an impression, especially among lower-level staff members, of inaccessibility of these two leaders. Although the Director feels that he is readily accessible to anyone on the staff, the staff often feels inhibited both by the rigid chain of command and by the feeling that problems brought to the Director or Associate Director will not be satisfactorily acted upon. In varying degrees, similar impressions exist of the Assistant Directors.

4. Access to and Flow of Information

An organization can only function effectively if there is a free and unimpeded flow of information. If the executive leaders do not communicate information necessary for the effective operation of their units, the information is frequently obtained through unofficial means. Information conveyed in this way is often inaccurate and, therefore, detracts from the effectiveness of the operation. When the executive leaders set the example of not being open with information, their staffs, in turn, do not feel free to give out information to other departments. Although the Memo Series and other memos have the purpose of disseminating official information, they alone are not sufficient.

Library system staff at all levels have, in many cases, met obstacles in obtaining complete and necessary information in order to perform vital operations. Often only by aggressiveness and persistence is the staff successful in obtaining the information they need to know for their jobs. They feel a need for greater access to budget, automation, technical processing, and physical planning information. Executive leaders seem to be aware that better communication is necessary, but little has been done to initiate better means of communication or to develop the skills for it.

5. Methods for Providing Staff Input to Decision-Making and for Providing Feedback to Decisions from Staff

Staff input is increasingly being seen as a necessary and valuable source of information to executive leaders. Although some supervisory staff members feel that they have adequate input to departmental affairs, they are not confident that their suggestions are being carried by their Assistant Directors to the Cabinet. Only one division systematically gathers staff input. In all other divisions, the Assistant Directors feel that they adequately know their staffs' opinions. In some areas of the library system, expression of opinions and ideas by staff members is discouraged. As already suggested, an aura of secrecy surrounds Cabinet meetings, and this tends to inhibit input from staff members. Many staff members, including Cabinet members, feel that they do not get sufficient or timely response to questions, suggestions, or proposals. After a decision is made, most executive leaders usually do not explain and justify it to the staff. In addition, there is no formal mechanism to provide for staff responses to decisions. Little apparent attempt is made to get feedback on decisions. Staff meetings are one method of obtaining feedback if an atmosphere conducive to open communication is maintained. However, they are not used effectively throughout the library system.

6. Lateral and Vertical Communication

Lateral communication seems, in many cases, to be more effective than vertical communication in coordination efforts. However, because of the poor communication within the Cabinet, from the Cabinet level down, and from the staff to the Cabinet level, lateral communication is often inhibited. This points to a serious breakdown in communication. Vertical communication has improved recently with the wider distribution of formal memos to the entire staff; however, the distribution of these memos is still not uniform.

B. Communication

The executive leaders must recognize people's desire to participate, understand, and contribute. The primary function of a good leader must be to fulfill the role of a first rate communicator, because ninety per cent of the management process is communication.

1. Communication With the UMCP Community

Communication with the UMCP community is improving through movement toward library instructional programs which reach more students that one-to-one contact has afforded. Much more information needs to be disseminated to the individual user about the operation of the libraries and plans and developments for the future in meeting users' needs (See also other Task Force Reports). The Library News does not contain enough information of use to the faculty.

2. Decision-making Process

A good decision-making process at any level depends upon the communication of accurate, relevant information on important issues upon which to base the decisions. In a climate of openness, trust, and concern for individuals, a group can make valid decisions; but when a policy of telling people only what they 'should' hear, or 'need to know' is invoked, effective discussion and debate are impossible. As a result, relevant information is hidden and the impact of issues on other departments is not thoroughly considered.

A major problem appears to be the Director's over-reliance on Cabinet members for information when making decisions. As previously described, this information may be somewhat inaccurate or biased because of the Cabinet members' own inadequate information or personal attitudes. Nor is the Library Council always a good source of information and input. With their immediate supervisors, the Assistant Directors, also present at Council meetings, some members feel reluctant to express their opinions or provide information. A similar situation is sometimes felt to exist on *ad hoc* and standing committees appointed by the Director.

In a previous report, the Task Force on Organization studied Lickert's table "Organizational and Performance Characteristics of Different Management Systems Based on a Comparative Analysis"* and interpreted the behavioral characteristics as they apply to the UMCP library system. They concluded that the present organization is "benevolent authoritative", with some leanings toward "consultative." To the extent that these characteristics apply to the decision-making process, the Task Force on General Management concludes that the present organization is "exploitive authoritative", with some leaning toward "benevolent authoritative."

III. RECOMMENDATIONS

This Task Force recommends that:

A. Executive Leadership and Coordination

1. External Constraints

a. Representatives of the library system be made part of the

* For table, see p. 175

councils and committees in which UMCP policies directly affecting the library system are made. The position of Director of Libraries should be strengthened through appointment of the Director to the Chancellor's Council of Provosts and Deans. For his part, the Director should be more aggressive in obtaining from the UMCP Administration information on planning, policies, and present and future academic developments if such information is not readily supplied by the Administration

b. the Director of Libraries be more forceful in bringing to the attention of the UMCP Administration the needs, plans, problems, and policies of the library system, particularly those which must be authorized by agencies outside the University

c. in order to publicize the needs of the library system outside the University, the Director should consider seriously taking his case to:
    a. The Governor's Office
    b. The Maryland Council on Higher Education
    c. The Board of Regents
    d. Appropriate State Legislature committees

2. Executive Leadership

a. the Director of Libraries visibly take the lead in identifying and considering issues, initiating action to tie the libraries together in concerted effort to attain goals, and build the confidence of the staff in the leadership ability of the library system management

b. in order to increase cooperation among the members of the executive leadership group the following measures should be taken;

    i. all executive leaders should be strongly encouraged to receive, with assistance from the library system, special managerial training. Several courses are offered in nearby academic communities, including an intensive, two-week library administrators development program in the summer sponsored by the UMCP College of Library and Information Services.

    ii. persons moving into the executive leadership group should be strongly encouraged and perhaps requested to take such training, if they have not recently done so, in the early part of their incumbency

    iii. the Library Cabinet should undertake as a group special training in the functions of communication processes and group dynamics. The Director should give special attention to his role as chairman and leader of the group.

c. the Director take a stronger lead in stopping the agitation among

the executive leaders. The executive leaders need not like each other, or even respect each other, but they must not agitate against each other. To enforce this rule is the job of the Director. This Task Force feels that, although he recognizes personality differences, the Director may not be fully aware of the extent to which such differences have advanced and are handicapping the operation of the library system.

3. Coordination Efforts

   a. clear, written charges of responsibility be made to each committee, task force, and administrative group

   b. units be encouraged to work together to solve problems affecting more than one unit. Solutions should be reported to unit heads and other units which might be affected. If problems cannot be solved between units, they should be taken upward to someone whose responsibility it is to coordinate inter-unit activities

   c. the role of the Library Council be clearly spelled out. Openness should be strongly encouraged by the Director of Libraries. Membership in the Council should be re-evaluated, with consideration given to providing more balanced representation of the library system divisions, and to the possibility of eliminating the Assistant Directors from membership

   d. the following guidelines be used for appointments to *ad hoc* and standing committees made by the Director:

      i. whenever feasible, preference in appointments should be given to staff members other than members of the Cabinet

      ii. efforts should be made to try to get balanced representation from the various staff levels

      iii. emphasis should be placed on representation from all concerned units or interests.

4. Decision-making Process

   a. a top-management work plan be developed which spells out in considerable detail:

      i. who is responsible for what
      ii. what are objectives and goals for each unit
      iii. what are the priorities
      iv. what are the deadlines.

   b. the decision-making process be clarified and formalized. Areas of responsibility and methods for arriving at decisions should be agreed upon. One of the first tasks of the executive leaders should be to identify objectively all key activities and tasks

of their group. Within his assigned sphere, a member of the executive leadership group should be expected to make decisions, but certain decisions should be reserved for the Cabinet. No member should make decisions with regard to a matter for which he does not have primary responsibility. Should such a matter be brought to him, he or she should refer it to the colleague whose primary responsibility it is

c. executive leaders should delegate more authority to middle management and concern themselves more with the total library system's issues and problems. Policy decisions for the library system should be made at the Cabinet level, and middle management should be trusted to follow the guidelines in making decisions in order to carry out these policies

d. methods for increased staff participation in the decision-making process should be devised to insure staff input before decisions are finalized.

B. Communication Between the Library System and the UMCP Community

1. a program be developed to involve more librarians in instructing faculty and students in the use of the libraries

2. signs, instructions, and hand-outs in libraries be studied for the purpose of making them more effective

3. the focus of the Library News be shifted in order to include more information on the library system of use to the faculty

4. suggestion forms be made available at all li brary system service desks, and a method be devised to answer them promptly

5. as was pointed out, the Associate Director is serving as secretary of the Library Council, *de facto* secretary of the Library Cabinet, and secretary of the Senate Adjunct Committee on Libraries and Instructional Aids. The Task Force feels that others should be allowed to perform in these capacities occasionally. Accordingly, since he is not an official representative of the library system on the Senate Adjunct Committee, he should give strong consideration to his declining to serve as its secretary. If the Committee desires to have a member of the library staff to serve as its secretary, another person should be suggested.

C. Communication Within the Library System

1. agenda be prepared before each Library Cabinet meeting and distributed to each Cabinet member in sufficient time to allow for preparation for the meeting

2. decisions made and actions taken in the Library Cabinet be communicated fully and promptly in writing to the staff

3. special attention should be given by the executive leaders to their memoranda, especially those originating from the library system administrative office, to ensure that they are unambiguous, consistent, and devoid of verbiage

4. formal groups and committees make an effort to:

   a. prepare and distribute agenda to members before each meeting
   b. supply necessary documentation
   c. prepare and distribute minutes to the staff
   d. represent all concerned interests.

5. the roles of the Library Assembly and Staff Alliance be studied and defined. The Director of Libraries should significantly increase his communications with both staff organizations, and indicate to them his views as to their functions in the library system

6. the executive leadership should make strong efforts to increase contacts with the staff:

   a. they should commit themselves to informing the entire staff of developments in all possible areas and guide supervisors in communicating the information to the staff

   b. they should notify the staff of coming decisions, events, or changes that affect the performance of the staff's jobs

   c. executive leaders should attend unit meetings occasionally

   d. executive leaders, especially the Director, should seek more informal, individual contacts with the staff

7. effective use of staff meetings be strongly encouraged throughout the library system

8. the delivery of official, written communication be improved. A study should be made of methods to improve the library system courier service.